

# Denali Commission



## Recipient Guidelines and Requirements

---

July 2015

APPROVED:

A handwritten signature in blue ink, appearing to read "Joel Neimeyer", written over a horizontal line.

Joel Neimeyer  
Federal Co-Chair

A handwritten date "9/18/15" in blue ink, written over a horizontal line.

Date

## **Introduction**

This document contains guidance and requirements for all Denali Commission Financial Assistance Awards. If you cannot find the information you need or if you have questions about any aspect of your Financial Assistance Award (FAA), please contact your Denali Commission Program Manager or Grants Administrator at (907) 271-1414.

Information about the Denali Commission can be obtained on our web site, [www.denali.gov](http://www.denali.gov).

The Denali Commission Recipient Guidelines and Requirements will be reviewed and updated annually.

## **I. PROJECT MANAGEMENT**

- *What To Do First*

Before starting a Denali Commission project, read your Financial Assistance Award.

Log in to the Denali Commission Database (Database) system, <https://www.denali.gov/dcpdb>, to access the electronic reporting for your FAA. If you have not established an account, click on the link for new users on the main page and follow the instructions to create a new account. Contact the Grants Administrator at (907) 271-1414 or email [dbadmin@denali.gov](mailto:dbadmin@denali.gov) for assistance.

Denali Commission FAA's are stored electronically in the Database. The FAA also identifies your Denali Commission Program Manager and his/her contact information. You are responsible for keeping your contact information up to date in the Database for your project.

Note the project's start and end dates (the project period or period of performance) so that you are on track to meet Denali Commission's reporting requirements. Review the projected performance measures for your project. You are responsible for tracking these measures and reporting your progress in interim and final reports to the Database.

- *Starting the Project*

You should begin work on your Denali Commission funded project as soon as the period of performance begins. You do not have to contact the Denali Commission before you begin, unless the FAA includes specific requirements that must be met prior to the start of certain activities, e.g., preparation of environmental documents, submission of bonds and insurance certificates for certain types of construction contracts. Your Denali Commission contacts are available, however, to answer questions and provide guidance as needed.

- *Cooperative Agreement Provision*

Depending on the nature of the project some FAA's may include a Cooperative Agreement Provision. If the Commission elects to include such provision, it will be part of the narrative in Attachment A of the FAA, under the section entitled Project Delivery Method. A Cooperative Agreement Provision is included in an FAA when the Commission will be substantially involved in implementing the project or components of the project, and requires the Recipient to cooperate

and collaborate with the Commission during the project. Cooperative Agreement Provisions will stipulate specific activities that Commission staff will be involved with, responsibilities assumed, assistance, and/or direction to be given by Commission staff during the project. The Commission's substantial involvement under the FAA shall cease when it is closed.

## **II. REPORTING & SITE VISITS**

- *Reporting Intervals*

The Denali Commission requires interim progress reports as stipulated in the Special Provisions section of the FAA, and a final report at the end of the project's Period of Performance. The reporting period begins on the start date indicated in the FAA. See Appendix A for detailed instructions on reporting.

If program activities did not start within the first period, or if the project is delayed any time during the reporting period, a progress report is still required, explaining the reasons for the delay and how any problems are being resolved. The following are the fiscal year quarterly dates for reporting:

1 <sup>st</sup> Quarter:	October 1 thru December 31	Reports Due on January 30
2 <sup>nd</sup> Quarter:	January 1 thru March 31	Reports Due April 30
3 <sup>rd</sup> Quarter:	April 1 thru June 30	Reports Due July 30
4 <sup>th</sup> Quarter:	July 1 thru September 30	Reports Due October 30

- *Late Reporting*

Recipients have agreed to the terms of funding in the FAA and therefore have agreed at the time of signature to comply with the reporting requirements outlined in the Special Provisions. Not submitting reports may lead to suspension of payments and eventual termination of an FAA. The process for suspension and termination of funding due to late reporting is as follows:

1. Notification is sent to the Recipient via e-mail 15 days after the due date if a report has not been submitted.
2. Fifteen days after the first notice (30 days late) the Denali Commission Program Manager will contact the recipient notifying them that suspension of their funding may occur if reporting is not completed.
3. A final notice is sent 30 days after the second notice (60 days late). The final notice includes a letter signed by the Director of Programs informing the Recipient that all financial payments have been suspended. If payments are suspended, all past due reporting must be submitted and approved in order for financial payments to resume.
4. If continued delinquencies ensue, the FAA may be terminated.

**(A) *Interim Progress Reports*****• *Required Content for Interim Reports***

1. Total expenditures for the project as of the end of the reporting period, including both Denali Commission and other funding sources. An analysis and explanation of any cost overruns or high unit costs.
2. Updated schedule and milestone information.
3. Narrative summary of the project status and accomplishments to date that addresses the following questions: is the project on schedule, is the project on budget, have all required permits been obtained, and what actions are planned to address any project problems. Include a comparison of actual accomplishments to the objectives, and if applicable, the reasons why established goals were not met.
4. Digital photographic documentation of progress that provides a complete record of construction at end of the project.

**(B) *Closeout Report*****• *Required Content for Closeout Reports***

1. Final project expenditures itemized by the following categories:
  - a. Planning and/or Design
  - b. Construction
    - Labor
    - Materials, Equipment, Freight and Other Direct Costs
    - Project Management/Administration
  - c. Indirect Costs
2. Narrative that summarizes project scope, deliverables, budget, delivery method, and schedule. Include a discussion of any unique circumstances or events that occurred during the project.

The final report is an opportunity to share the significant features of a project and present information about the results the project achieved. The document should be written as if the reader has no previous knowledge of the project's activities. The report should cover the entire period of performance. It must review and highlight all activities that occurred during the project, including an assessment of all performance measures that were originally proposed. If Commission funds were only used for a portion of a project, describe the overall project and how Commission funds were used in the context of the overall project.

Recipients will receive an auto-generated email notification when the Denali Commission has closed the project.

**(C) Site Visits**

Commission staff or agents of the Commission may make visits to the project site and/or home office to monitor progress during and/or after the Period of Performance. The Recipient shall coordinate and make information available as necessary to facilitate any such site visits. If additional project information is requested by the Commission as a result of a site visit, the Recipient shall promptly provide the requested information.

**III. PAYMENTS**

All Denali Commission FAA recipients are required to have a current registration in the SAM.gov (System for Award Management) application. SAM.gov replaced and consolidated CCR (Central Contractor Registration) and ORCA (Online Representations and Certifications Application). Recipients must complete an initial SAM.gov application and renew/update information annually. SAM.gov allows for recipients to elect the banking account information to which FAA payments are made. The SAM.gov application is available at <https://www.sam.gov>. Questions on banking information can be directed to [denalicommissionfinance@denali.gov](mailto:denalicommissionfinance@denali.gov).

Payments are made by electronic transfer in response to a “Request for Advance or Reimbursement” on a Standard Form 270 (SF-270) submitted by the Recipient. The form is available on the Denali Commission website: [www.denali.gov](http://www.denali.gov). The SF-270 must be submitted to the Denali Commission via e-mail at [denalicommissionfinance@denali.gov](mailto:denalicommissionfinance@denali.gov). Payments shall be made in accordance with 2 CFR Part 200.305. Please contact your Denali Commission Program Manager at (907) 271-1414 for further information about submitting this form.

Payments may be tracked in the Denali Commission Database by viewing the electronic record for an FAA. Select the “Financial” tab, and then select “Drawdowns” for a record of all payments.

If interest is earned on FAA funds, the Recipient may retain up to \$500 per year for administrative expenses in accordance with 2 CFR 200.305. Any additional interest or profit must be forwarded to the Denali Commission at the end of the project for deposit at the U.S. Treasury.

**(A) Reimbursements**

Requests for reimbursements may be made as needed. The request should include:

1. SF-270
2. Backup documentation, e.g., invoices, bids, or proposals showing expenditures for the period
3. Additional information required by the Program Manager

Commission staff review the SF-270 and supporting documents to confirm that expenditures are consistent with the approved budget and reflect the project’s progress described in the narrative report. See Appendix B for additional instructions for reimbursements.

***(B) Advance Payments***

Advances shall be limited to the minimum amount necessary to meet immediate disbursement needs, but never for the final payment. The advance payment request should include:

1. SF-270
2. Statement explaining why the advance is necessary
3. Backup documentation to include invoices, bids, or proposals showing estimated expenditures for the forecasted period
4. Additional information required by the Denali Commission Program Manager

If a recipient demonstrates an unwillingness or inability to establish procedures that will minimize the time elapsing between the transfer of funds and disbursement, or otherwise fails to continue to qualify for the advance method of payment, the Program Manager may change the method of payment to reimbursement only.

***(C) Final Payments***

Final payments are processed when the Program Manager approves the project closeout report and typically take longer than interim payment requests. Closeout reports must reflect activities and costs for the entire performance period. The final payment report must also include source and amount of all matching funds. The final budget should also detail how all matching funds were used. The final financial report and final narrative report are due within 90 days of the end of the performance period.

**IV. MODIFICATIONS TO A FINANCIAL ASSISTANCE AWARD**

- *Changing the Period of Performance*

If a project cannot be completed within the approved period of performance, an extension request must be submitted **prior to the end date** by email to your Program Manager. The request must include the reason for the extension and the proposed new end date. Project extensions require concurrence of the Denali Commission Director of Programs.

- *Other Modifications*

Recipients are required to report deviations in project scope, budget, schedule, or changed site conditions in accordance with 2 CFR 200.308. Requests for such changes must be submitted to the Program Manager. FAA modifications require concurrence of the Denali Commission Director of Programs.

## **V. FINANCIAL MANAGEMENT, RECORDS, INTERNAL CONTROLS, & AUDITS**

### ***(A) Office of Management and Budget Requirements (OMB)***

Denali Commission Awards must be administered in accordance with the guidance found in Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200), which has replaced the OMB Circulars listed below. The recipient is expected to be familiar with this document. Hard copies can be ordered directly from the Office of Management and Budget by calling (202) 395-7332.

The following Circulars **no longer apply** to the administration of a Denali Commission Financial Assistance Awards:

**A-102** Grants and Cooperative Agreements With State and Local Governments (Grants Management Common Rule)

**A-21** Cost Principles for Educational Institutions

**A-110** Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-profit Organizations

**A-87** Cost Principles for State, Local and Indian Tribal Governments

**A-122** Cost Principles for Non-profit Organizations

### ***(B) Suitable Accounting Systems***

Project expenditures must be maintained in a format acceptable pursuant to 2 CFR Part 200.302 and any applicable State laws.

### ***(C) Internal Controls***

Recipients must establish, maintain, comply, evaluate, and monitor effective internal control over the FAA in compliance with 2 CFR 200.303, Federal statutes, regulations, and the terms and conditions. Recipients must take prompt action when instances of non-compliance are identified.

Recipients must take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency designates as sensitive of the recipients considers sensitive consistent with applicable Federal, state, and local laws regarding privacy and obligations of confidentiality.

### ***(D) Audit Requirements***

Recipients must maintain accurate and complete records related to Denali Commission FAA's and make these available for audit, as necessary, by the Denali Commission or the Government Accountability Office. Each year, the Denali Commission Office of the Inspector General

conducts random audits of selected FAA's to ensure compliance with the Terms and Conditions, Special Provisions, and applicable regulations.

Audit requirements, formerly included in OMB Circulars A-133 and A-50: *Audits of States, Local Governments, and Nonprofit Organizations* are now in 2 CFR 200 Subpart F. Federal Single Audits must be submitted to the Federal Audit Clearinghouse in accordance with 2 CFR 200.501, which requires Recipients that expend \$750,000 or more of Federal funds in a year to have a single or program-specific audit conducted for that year.

#### **(E) Key Audit Issues**

1. Separate Accounts: If a Recipient organization manages several Financial Assistance Awards, each one must be accounted for separately, including receipts, expenditures, and any matching requirements.
2. In-kind and Third Party Contributions: If a project will be using in-kind or third party contributions for matching purposes, documentation must be maintained including a listing of sources and an indication of how the contributions were valued, (e.g., comparable or similar type positions or services in area) in accordance with 2 CFR 200.306. Invoices must support services and other expenditures.
3. Travel Costs: Travel claims must follow written policies of the Recipient organization when consistent with the cost principles in 2 CFR 200 applicable to the organization. Invoices must support costs and expenditures.
4. Pre-award and Post-performance Costs: The Denali Commission will not reimburse expenditures occurring before or after the FAA performance period, unless specifically authorized in the FAA Special Provisions. As noted in Section IV above, extensions to the Period of Performance must be requested, and approved by the Denali Commission, before the FAA period expires.
5. Support of Salaries and Wages: Recipients should be familiar with the provisions of 2 CFR 200.430 related to maintaining documentation for salaries and wages. **Recipients should note, in particular, that reports of salaries and wages must reflect an after-the-fact determination of the actual activity of each employee. Budget estimates generated before the services are performed do not qualify as support for charges to the FAA.**

#### **VI. DIRECT AND INDIRECT COSTS**

2 CFR 200 Subpart E (Cost Principles) contains specific guidance on allowable direct costs and allocable indirect costs. A Recipient's accounting policies and practices must comply with the cost principles outlined in Subpart E, and provide for adequate documentation to support costs charged to the FAA. There is no universal rule for classifying certain costs as either direct or indirect under every accounting system. A cost may be direct with respect to some specific service or function, but indirect with respect to an FAA or other final cost objective. Therefore, it is essential that each item of cost incurred for the same purpose be treated consistently in like circumstances, either as a direct or indirect cost, in order to avoid possible double-charging of FAA's.

Some types of expenditures are expressly unallowable, either as a direct or indirect cost. Some examples include alcoholic beverages, bad debts, contributions, entertainment, fund raising and lobbying. Recipients may not earn or keep any profit resulting from Federal financial assistance, unless explicitly authorized in the FAA.

#### **(A) Direct Costs**

Direct costs charged against an FAA must be both allowable and reasonable. Refer to 2 CFR 200.403 for criteria on the allowability of costs. Refer to 2 CFR 200.404 for criteria in determining the reasonableness of a given cost. Refer to 2 CFR 200.420 for detailed information on specific items of cost. Direct costs must be estimated and organized into logical categories in the FAA budget. Support documentation must be submitted with requests for reimbursement or advance payments under an FAA.

#### **(B) Indirect Costs**

Indirect (facilities & administrative) cost pools must be distributed to benefitted cost objectives on bases that produce an equitable result in consideration of relative benefits derived. All activities which benefit from indirect costs, including unallowable activities and donated services by the Recipient or other parties, must receive an appropriate allocation of indirect costs. Refer to 2 CFR 200.405 for guidance on how to ensure these standards are met.

1. Recipients and Sub-recipients that are able to allocate and charge 100% of their costs directly may do so.
2. If a Recipient or Sub-recipient already has a negotiated indirect rate with the Federal government, the Denali Commission will accept the negotiated rate for use in allocating indirect costs under the FAA.
3. In accordance with 2 CFR 200.414, a Recipient that has never received a negotiated indirect cost rate, except State/Local Government Departments/Agencies that receive more than \$35 million per year in federal funding, may elect to charge a de-minimis rate of 10% of modified total direct costs (MTDC). However, if a Recipient or Sub-recipient elects to use the de-minimis rate for a Denali Commission FAA, they must use this methodology for all Federal awards until such time as the Recipient or Sub-recipient chooses to negotiate a rate.
4. The Commission may use a rate different from the negotiated or de-minimis rate for a class of awards or a single award when required by Federal statute or regulation, or when approved by the Commission agency head or delegate in accordance with 2 CFR 200.414(c).
5. Claiming reimbursement for indirect costs is never mandatory; a Recipient or Sub-recipient may conclude that the amount it would recover thereby would be immaterial and not worth the effort needed to obtain it. Accordingly, Recipients and Sub-recipients may propose an indirect rate lower than their negotiated rate or the de-minimis rate for any particular FAA, provided they do so in writing and the proposal is signed by an official authorized to legally bind the organization.

6. Recipients and Sub-recipients must clearly identify in the FAA budget what base (direct labor or MTDC) and what rate will be used to allocate their indirect costs under the FAA. If the rate is a Federally negotiated rate, the budget must include notes identifying the cognizant agency and date the rate was negotiated.
7. MTDC is defined as all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each sub-award, sub-contract or professional service agreement (regardless of the period of performance of the sub-award, sub-contract, or agreement). MTDC excludes equipment, rental costs, capital expenditures, charges for patient care, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award, sub-contract or professional service agreement in excess of \$25,000.
8. In accordance with 2 CFR 200.415 all payment vouchers and fiscal reports must include the following certification, signed by an official authorized to legally bind the organization.

*By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the FAA. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729 – 3730 and 3801 – 3812)*

## **VII. SUB-AWARDS AND CONTRACTS**

Recipients shall ensure that all sub-awards comply with 2 CFR 200.331, and 332 if applicable. All contracts issued by Recipients under the FAA shall contain the provisions in Appendix II to 2 CFR 200 related to breach of contract, termination for cause and/or convenience, equal employment opportunity, Davis-Bacon Act, Work Hours and Safety Standards Act, inventions, Clean Air Act, debarment and suspension, Byrd Anti-Lobbying Amendment, and the Solid Waste Disposal Act as amended by the Resource Conservation and Recovery Act.

## **VIII. ACKNOWLEDGEMENT OF SUPPORT**

Recipients shall display a sign that acknowledges the Government's support for the project(s) developed under this FAA. The Recipient must request an indoor and/or an outdoor sign from the Commission office. Pickup or delivery of the sign can be arranged at that time.

Recipients shall include the Denali Commission as a financial contributor and project and/or program partner on all media correspondence including, but not limited to, press releases, interviews, and statements to the media. The recipients shall also provide the Denali Commission with copies of any press materials distributed.

## **IX. REAL AND PERSONAL PROPERTY**

In accordance with 2 CFR Part 200.329, the Recipient must submit reports using Form SF-429 “Real Property Status Report”, at least annually on the status of real property in which the Federal government retains an interest as a result of the project, unless the Federal interest in the property extends 15 years or longer. In those instances where the Federal interest is 15 years or more, the Recipient must submit reports every two years.

During the duration of the Federal interest, the recipient shall comply with all use and disposition requirements and restrictions set forth in 2 CFR Part 200.310 through 200.316, as applicable, and in the Terms, Conditions and Special Provisions of the FAA. Form SF-429’s must be emailed to [dbadmin@denali.gov](mailto:dbadmin@denali.gov).

## **X. CONFLICT OF INTEREST**

“Interested Party” means any officer, employee or member of the board of directors or other governing board of the Recipient, including any other parties that advise, approve, recommend or otherwise participate in the business decisions of the Recipient; such as agents, advisors, consultants, attorneys, accountants or shareholders. An Interested Party also includes the Interested Party’s Immediate Family and other persons directly connected to the Interested Party by law or through a business arrangement.

### ***(A) General***

It is the Denali Commission’s policy to maintain the highest standards of conduct to prevent conflicts of interest in connection with the award of Commission funds or the use of FAA funds for reimbursement or payment of costs (*e.g.*, procurement of goods or services) by, or to the Recipient. A conflict of interest generally exists when an Interested Party participates in a matter that has a direct and predictable effect on the Interested Party’s personal or financial interests. A conflict also may exist where there is an appearance that an Interested Party’s objectivity in performing his or her responsibilities under the Project is impaired. For example, an appearance of impairment of objectivity may result from an organizational conflict where, because of other activities or relationships with other persons or entities, an Interested Party is unable to render impartial assistance, services or advice to the Recipient, a participant in the Project or to the Federal government. Additionally, a conflict of interest may result from non-financial gain to an Interested Party, such as benefit to reputation or prestige in a professional field.

### ***(B) Prohibition on Direct or Indirect Financial or Personal Benefits***

An Interested Party shall not receive any direct or indirect financial or personal benefits in connection with the award of Commission funds or its use for payment or reimbursement of costs by or to the Recipient. Costs incurred in violation of any conflicts of interest rules contained in this section or in violation of any assurances by the Recipient may be denied reimbursement.

If you believe that a conflict of interest exists within your agency, contact your Program Manager immediately at 907-271-1414.

## **XI. DENALI COMMISSION POLICIES**

Recipients may be required to comply with some or all of the following Denali Commission policies, which can be found in Appendix C.

- Investment Guidance
- Sustainability
- Community Planning
- Open Door
- Private Enterprise
- Competitive Bid
- Cost Containment

## **XII. LAWS AND REGULATIONS**

Recipients are required to comply with all applicable Federal laws and regulations. Some potentially applicable laws and regulations are summarized below for reference.

1. 2 CFR 1326, “Non-procurement Debarment and Suspension”, which generally prohibits entities that have been debarred, suspended, or voluntarily excluded from participating in Federal non-procurement transactions either through primary or lower tier covered transactions with other persons, including sub-recipients and contractors.
2. The National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. No. 112-239, enacted January 2, 2013 and codified at 41 U.S.C. § 4712) includes a pilot program for whistleblower protection. It applies to all Denali Commission Financial Assistance Awards, sub-awards, or contracts under awards issued beginning July 1, 2013 through January 1, 2017. The following term implements that law:

In accordance with 41 U.S.C. § 4712, an employee of a recipient or contractor under a FAA or sub-award may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to a person or body information that the employee reasonably believes is evidence of gross mismanagement of a Federal award, sub-award, or a contract under a Federal award or sub-award, a gross waste of Federal funds, an abuse of authority relating to a Federal award or sub-award or contract under a Federal award or sub-award, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal award, sub-award, or contract under a Federal award or sub-award. Recipients and contractors under Federal awards and sub-awards shall inform their employees in writing of the rights and remedies provided under 41 U.S.C. § 4712, in the predominant native language of the workforce.

The persons or bodies referenced above include:

- i. A Member of Congress or a representative of a committee of Congress
- ii. An Inspector General
- iii. The Government Accountability Office

- iv. A Federal employee responsible for contract or grant oversight or management at the relevant agency
  - v. An authorized official of the Department of Justice or other law enforcement agency
  - vi. A court or grand jury
  - vii. A management official or other employee of the contractor, subcontractor, or Recipient who has the responsibility to investigate, discover, or address misconduct
3. No person in the United States shall, on the ground of race, color, national origin, handicap, age, religion, or sex be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving federal financial assistance. The Recipient agrees to comply with the non-discrimination requirements below, and any other applicable non-discrimination law(s).
- i. Title VI of the Civil Rights Act of 1964 (42 U.S.C. Part 200d et seq.);
  - ii. Title IX of the Education Amendments of 1972 (20 U.S.C. Part 1681 et seq.);
  - iii. The Americans with Disabilities Act of 1990 (42 U.S.C. Part 12101 et seq.);
  - iv. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Part 794);
  - v. The Age Discrimination Act of 1975, as amended (42 U.S.C. Part 6101 et seq.);
4. To the maximum extent practicable, considering applicable laws, the Recipient shall accomplish the project contemplated by the FAA using local Alaska firms and labor.
5. No portion of this FAA may be used for lobbying or propaganda purposes as prohibited by 18 U.S.C. Section 1913 or Section 607(a) of Public Law 96-74.
6. The Recipient must comply with the following environmental requirements, and any other applicable environmental law(s):
- i. The National Environmental Policy Act (42 U.S.C. Section 4321 et seq.). See Appendix D for guidelines on how to comply with NEPA requirements for projects funded by the Denali Commission.
  - ii. The National Historic Preservation Act (16 USC 470 et seq.)
  - iii. Executive Order (EO) 11988 (“Floodplain Management”), EO 11990 (“Protection of Wetlands”) and EO 12898 (“Environmental Justice in Minority Populations and Low Income Populations”)
  - iv. The Clean Air Act (42 USC 7401 et seq), Federal Water Pollution Control Act (33 USC 1251 et seq), and EO 11738 (“providing for administration of the Clean Air Act and the Federal Water Pollution Control Act with respect to Federal contracts, grants or loans”).
  - v. The Flood Disaster Protection Act (42 USC 4002 et seq)
  - vi. The Endangered Species Act (16 USC 1531 et seq)
  - vii. The Coastal Zone Management Act (16 USC 1451 et seq)
  - viii. The Coastal Barriers Resources Act (16 USC 3501 et seq)
  - ix. The Wild and Scenic Rivers Act (16 USC 1271 et seq)
  - x. The Safe Drinking Water Act of 1974 as amended (42 USC 300f et seq)
  - xi. The Resource Conservation and Recovery Act (42 USC 6901 et seq)

- xii. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) (42 SUC 9601 et seq) and the Community Environmental Response Facilitation Act (42 USC 9601 et seq)
7. The Recipient must comply with the following:
- i. The Drug-Free Workplace Act of 1988 (41 USC 8102)
  - ii. The Fly America Act (49 USC 40118) and implementing regulations (41 C.F.R. 301-10.131 through 301-10.143)
  - iii. 15 C.F.R. Part 27 (“Protection of Human Subjects”)
  - iv. Laboratory Animal Welfare Act of 1966, as amended (7 USC 2131)
  - v. Marine Mammal Protection Act (16 USC 1361 et seq)
  - vi. The Nonindigenous Aquatic Nuisance Prevention and Control Act (16 USC 4701 et seq)
  - vii. The Trafficking Victims Protection Act of 2000 (22 USC 7104(g)). The award term required by 2 C.F.R 175.15(b) is incorporated by reference.
8. The Recipient is responsible for complying with all requirements of the Financial Assistance Award. For all Federal awards, this includes the provisions of the Federal Funding Accountability And Transparency Act (FFATA), which includes requirements on executive compensation, and also requirements implementing the Act for the recipients at 2 CFR part 25 Financial Assistance Use of Universal Identifier and Central Contractor Registration, and 2 CFR part 170 Reporting Sub-award and Executive Compensation Information.

# APPENDIX A

---

## Reporting

Financial Assistance Award recipients use the Reporting section to submit official reports to the Denali Commission in accordance with the conditions of the Financial Assistance Award. The type of report and how frequently they are scheduled to be submitted in the database is set up by the Denali Commission.

### Tips for using the Reporting step-by-step process

- The report will automatically save at each step, allowing users to exit the database and return later to complete the report without losing any data previously entered. Note: The report is not officially submitted until the recipient clicks the Submit to Denali Commission button at the end of the step-by-step process.
- The menu bar at the top of each step shows users which steps have been visited by changing from gray to yellow. Users can also click on this bar to advance to the next step, instead of the Back and Next buttons at the bottom of the screen.



- Occasionally, it may be necessary to delete a report before it has been submitted to the Denali Commission. Click the Delete un-submitted report button located on the Reporting Period and Review pages.
- To make changes to a report that has already been submitted, please contact the Denali Commission Program Manager.
- A Printer Friendly version will be available at the end of the report for your records. A courtesy copy will also be e-mailed to the Recipient Project Manager after the report has been submitted.

## Submitting a Progress Report

There are several types of reports that can be submitted using the project database. The most common report is the Progress Report. The following steps outline the progress reporting step-by-step online submittal process. Other report types have a similar step-by-step approach for easy reporting.

**Who does it?** Reports are submitted by the Recipient Project Manager. There are two methods of accessing the progress report:

**Method #1** - If you are listed as the Recipient Project Manager in the contacts section of the database, from the Database Home menu, click on My Tasks. Reports due within the next 30

days will be listed. In the task column, click on the Progress report link. This will take you to step 1 of the progress report.

Date	Task	Number	Community	Description
09/30/2004	<a href="#">Project Close Out Report</a>	AN03-046	Anch	Cruc Construction - Sub-region Anchur
01/30/2005	<a href="#">Project Close Out Report</a>	AN03-044	Verona	Washington Equipment Purchase
10/01/2004	<a href="#">Project Close Out Report</a>	AN03-042	Totol	Cruc Design & Construction
04/30/2005	<a href="#">Progress Report</a>	AN01-007	Alutic	Cruc Design & Construction - Matanuska
06/30/2005	<a href="#">Progress Report</a>	AN01-00	Alutic Village	Cruc Design
06/30/2005	<a href="#">Progress Report</a>	AN01-022	Chukotka	Cruc Design

**Method #2** - From the project database main menu, click **Project** and locate your project. **Note:** For details on how to search or filter for projects, see the [Searching for a Project](#) section. Once you have located your project, click **Reporting** from the Projects sub-menu. The following page appears.

Report Type	Reporting Period	Due Date	
Progress Report	07/01/2004-09/30/2004	10/30/2004	<a href="#">Add New Report</a>

Report Type	Report Period	Due Date	Submitted	Attachments
Progress Report	04/01/2004	06/30/2004	07/30/2004	<a href="#">None</a>

DENALI COMMISSION  
 510 J Street, Suite 410, Anchorage, Alaska 99501  
 907 271 1414 Fax 907 271 1418 Toll Free 800 480 4321  
[Contact System Administrator](#)

- In the report table click the **Add New Report** link. This will start the step-by-step process of submitting a progress report online.

## Step 1- Reporting Period

# Submitting a Progress Report - Step 1 - Reporting Period

SYSTEM | HELP | LOGOUT

**Progress Report Submission 0115-DC-2004-12**  
**Statewide: Project Testing**

**Reporting Period**

- Use the **Next** and **Back** buttons of the menu bar to step through the screens
- The report will automatically save each step, which allows the user to exit and return later to complete the report without losing any data previously entered
- The report is not officially submitted until the final **Submit To Denali Commission** button has been clicked
- Look for the **?** buttons. These provide additional instructions and definitions of terms

**Action Required:** Select the Reporting Period

**Reporting Period** **?**

From: 01/01/2004 (Start of 2004)

To: 10/31/2004 (End of 2004)

Step 1 of 7

a) The time period covered by this report is displayed by default. If the report covers a different period, use the drop down menus to select the appropriate dates.

b) Click **Next** to continue or click **Delete un-submitted report** to exit the reporting section.

## Reporting Period Definitions

1. **Reporting Period:** The period of time covered by the report. This reporting period should coincide with the reporting periods identified in recipients Financial Assistance Award.

## Step 2 - Funding

# Submitting a Progress Report - Step 2 - Funding

PROJECT DATABASE SYSTEM

Home Awards Projects Applications Admin

4 Reports 3 Reports 3 Reports 3 Reports 3 Reports

Reporting Period: 1 Reporting Period: 1 Reporting Period: 1 Reporting Period: 1 Reporting Period: 1

Progress Report Submission for Project #AN04-G95  
Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design

Reporting Period: Funding

Other Funding Source for Project #AN04-G95  
Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design

Funding Source	Amount
Total Denali Commission Funding	1,207,817.00
Other Project Other Funding	82,619.00
<b>Total Other Funding</b>	<b>82,619.00</b>
<b>Total Project Funding</b>	<b>1,290,436.00</b>

Other Funding Source for Project #AN04-G95  
Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design

Other Funding Source:

If not found, provide new source:

Funding Amount:

Funding Date:

Comments:

Undo Changes Save

Purpose: The funding section includes the **total funding obligated** to the project from all sources.

**Action Required:**

1. **Verify** the Denali Commission Funding, notify Program Manager of changes.
2. **Add/Update** Other Project Funding if there are changes from the previous reporting period.

a. To **add** a new Other Project Funding source to the list, click the **add new other funding source** link. The following edit screen appears:

Progress Report Submission for Project #AN04-G95  
Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design

Reporting Period: Funding

Other Funding Source for Project #AN04-G95  
Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design

Other Funding Source:

If not found, provide new source:

Funding Amount:

Funding Date:

Comments:

Undo Changes Save

- b. To **change** an Other Funding source already in the list, click the **edit** pencil to the left of the funding source to be updated.
- c. Use the drop-down list to select the source from which funding has been secured. If the source is not in the current list, select **Not found, See Below** from the list, and enter the Funding Source name in the field below (please do not use acronyms).
- d. Update the funding amount and funding date.
- e. Click **Save**.

- 3. The new funding data will appear in the funding table. These steps may be repeated as many times as necessary until all Other Funding has been entered.
- 4. Click **Next** to continue.

### Funding Definitions

**Total Denali Commission Funding:** The sum of all Denali Commission funds obligated to the project.

**Total Other Funding:** The sum of all non-Denali Commission funds obligated to the project. Each funding source should be identified and listed separately.

**Total Project Funding:** The sum of all funds obligated to the project.

**Funding Amount:** The amount of funding obligated to the project from the funding source.

**Funding Date:** The date of the signature on the Financial Assistance Award, or the date on which funding is secured, whichever is applicable.

**Comments:** Any necessary explanation regarding the circumstances under which funds have been contributed.

### Step 3 - Expenditures

## Submitting a Progress Report - Step 3 - Expenditures

The screenshot shows the 'PROJECT DATABASE SYSTEM' interface for the Denali Commission. The navigation menu includes Home, Awards, Projects, and Indicators. The current page is 'Progress Report Submission for Project #AN04-G95, Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design'. The 'Expenditures' tab is selected, and the page indicates that this section includes cumulative expenditures for the project from all sources. An action required is noted: 'Update to reflect the cumulative expenditures as of the end of the reporting period'. A table displays the following data:

	Last Reported	To Date	Total Funding	Expended
Denali Commission Expenditures For Award 0071 DC 2002 124	\$128,500.00	\$128,500.00	\$128,500.00	100%
Other Project Funding Expenditures	\$0.00	\$0.00	\$0.00	N/A
<b>Total Expenditures</b>	<b>\$128,500.00</b>	<b>\$128,500.00</b>	<b>\$128,500.00</b>	<b>100%</b>

At the bottom of the page, contact information for the Denali Commission is provided: 510 L Street, Suite 410, Anchorage, Alaska 99501, 907 271 1414, Fax 907 271 1418, Toll Free 888 380 3321, and Contact System Administrator.

Purpose: The expenditures section includes the cumulative expenditures for the project from all sources.

Action Required:

1. Update to reflect the cumulative expenditures as of the end of the reporting period.
2. Click Next to continue.

### Expenditures Definitions

**Denali Commission Expenditures:** All Denali Commission funds expended to date. This includes all funds expended, regardless of whether advances or reimbursements have been received from the Denali Commission. Note: This is not the amount of funds you have drawdown from the Denali Commission. It is the amount of funding that has been actually expended to date.

**Other Project Funding Expenditures:** All non-Denali Commission funds expended to date.

**Total Expenditures:** The sum of all funds expended to date.

**Last Reported:** Expenditures reported on the most recent progress report.

**To Date:** The cumulative total of funds expended, as of the end of the reporting period. The expenditures to date field should include expenditures previously reported, plus expenditures during the current reporting period.

**Expended:** Total expenditures divided by the current total project funding.

### Step 4- Milestones

## Submitting a Progress Report - Step 4 - Milestones

### Important New Information Posted!

View [new information on milestone units and total cost at completion](#) data collected for each milestone.

The screenshot shows the 'PROJECT DATABASE SYSTEM' interface. The navigation menu includes Home, Awards, Projects, Indicators, Search, Details, Financial, and Reporting. The current page is titled 'Progress Report Submission for Project #AN04-G95 Alaska Native Tribal Health Consortium: Kodiak Hospital R&R Design'. Below the navigation, there are tabs for Reporting Period, Funding, Expenditures, and Milestones. A 'Save' button is visible. The 'Action Required' section states: 'Update milestone data ONLY if a milestone has been completed during this reporting period'. Below this is a table with the following structure:

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Planning/Design*	12/01/2003	01/01/2004	12/01/2003	01/01/2004	1000.0	123500

At the bottom of the page, there is a 'Step 4 of 7' indicator with 'Back' and 'Next' buttons.

Purpose: The milestones section captures the significant stages during the project life cycle.

Action Required:

1. Update milestone data **ONLY** if a milestone has been completed during the reporting period. If no milestone(s) has been completed during the reporting period, click **Next** to continue.
2. If milestone(s) have been completed during the reporting period or need to be changed, click the **Edit** pencil to the left of the milestone to be updated.

The following screen appears:

Add/Edit Milestones for Alaska Native Tribal Health Consortium Project #AN04-G95  
Kodiak Island Borough Kodiak Hospital R&R Design

---

<b>Milestone Type*:</b>	Planning/Design	<input type="button" value="v"/>
<b>Planned Start Date:</b>	12/01/2003 (mm/dd/yyyy)	<b>Actual Start Date:</b> 12/01/2003 (mm/dd/yyyy)
<b>Planned End Date:</b>	04/01/2004 (mm/dd/yyyy)	<b>Actual End Date:</b> 04/01/2004 (mm/dd/yyyy)
<b>Units:</b>	1000.0	Square Feet <input type="button" value="v"/> (estimated/actual)
<b>Total Cost at Completion:</b>	\$128,500.00 (estimated/actual)	
<b>Comments:</b>	Up to 255 characters. Current count: <input type="text"/>	
	<input type="text"/>	

\* = Required field

- a. Update applicable data (see definitions below).
- b. Click **Save**.
- c. The new milestone data will appear in the milestone table. These steps may be repeated as many times as necessary until all milestones have been updated.

3. Click **Next** to continue.

### Milestone Definitions

**Planned Dates:** Planned dates are to be reported for the milestone directly following the most recent milestone completed.

**Actual Dates:** Actual dates are to be reported upon the completion of a milestone.

### Units (estimated/actual):

**For construction projects such as tank farms or health clinics:** The estimated/actual total capacity or quantity funded as defined in the project scope (i.e. total shell capacity in gallons, kilowatt output, or total square feet.)

**For non-construction projects** such as economic development, feasibility studies, efficiency upgrades, needs assessments, and equipment procurement: Units are not required.

**Total Cost at Completion (estimated/actual):**

**For construction projects such as tank farms or health clinics:** The estimated/actual total cost at completion of the project as defined in the project scope of the award document.

**For non-construction projects** such as training, economic development, feasibility studies, efficiency upgrades, needs assessments, and equipment procurement: Total Cost at Completion is not required.

**Comments:** Any necessary explanation regarding the circumstances under which funds have been contributed.

**Next Milestone:** The milestone following the most recent milestone reached as defined in the award document.

**Milestone Types:** The following definitions are designed to explain each type of milestone, however all of the milestones do not apply to every project. Please follow the list of milestones, as shown for your project. Contact the Denali Commission Program Manager if you are unsure which milestones apply to your project.

**Award Pending:** An award document has been drafted and is being circulated among participants for review and signature.

- **Award Signed:** Milestone has been reached once the award document has been signed by all necessary participants.

**Conceptual Planning:** Conceptual Planning elements may include the development of the following: 35% design set; Site plan; Conceptual Design Report; Code and Conditions Survey; Initial project scope and cost estimate; a Business plan that demonstrates the project is sustainable.

- **Conceptual Planning Completed:** Milestone has been reached once all of the required conceptual planning elements have been completed.

**Final Design:** Final Design elements may include the development of the following: 100% design set; plans and specifications stamped by the appropriate discipline; Full site adaptation; Permits; environmental and archaeological clearance, including fire marshall, ADEC, local/city/borough, COE, and NEPA/NHPA, etc.; Site Control, including deed, location metrics, and other issues and alternatives addressed.

- **Final Design Completed:** Milestone has been reached once all of the required final design elements have been completed.

**Construction:** The construction project as defined in scope section of the award document is underway.

- **Substantial Completion:** Milestone has been reached once the project is substantially complete and is ready for owner acceptance and occupancy. Any items remaining to be completed at this point should be duly noted or stipulated in writing.

**Close-out Process:** The project as defined in the scope section of the award document has been completed and assembly of all final documentation is underway.

- **Close-out Completed:** The project as defined in the scope section of the award document is complete and all required documentation has been finalized, submitted and accepted by the Denali Commission.

**Renovation & Repair:** The renovation and/or repair project as defined in the scope section of the award document is underway.

- **Substantial Completion:** Milestone has been reached once the project is substantially complete and is ready for owner acceptance and occupancy. Any items remaining to be completed at this point should be duly noted or stipulated in writing.

**In-Progress:** The project as defined in the scope section of the award document is underway. This milestone is typically used for non-construction projects.

- **Project Completed:** The project as defined in the scope section of the award document has been completed.

## Step 5 - Narrative

# Submitting a Progress Report - Step 5 - Narrative

The screenshot shows a progress report submission interface with a navigation bar at the top containing the following steps: Reporting Period, Funding, Expenditures, Milestones, and Narrative (which is highlighted in red). Below the navigation bar, the instructions for the Narrative step are displayed:

Please provide a narrative summary of the project status and accomplishments to date, and address the following questions: Is the project on schedule, is the project on budget, and what actions are planned to address any project problems?

Please limit the summary to 2000 characters, or attach a document if more space is needed (next step)

Up to 2000 characters. Current count: 0

At the bottom of the form area, there are two buttons: Back and Next.

a) Please provide a Narrative summary of the project status, accomplishments to date, and the following:

- Is the project on schedule
- Is the project on budget, and
- What actions are planned to address any project problems?

b) Click Next to continue.

## Step 6 - Attachments

# Submitting a Progress Report - Step 6 - Attachments

The screenshot shows the Denali Commission Project Database System interface. The header includes the Denali Commission logo, navigation tabs (Home, Projects, Indicators, Admin), and a search bar. The main content area is titled "Progress Report Submission 0114-DC-2004-11 Statewide: Project Testing". A breadcrumb trail shows "Reporting Period", "Funding", "Expenditures", "Milestones", "Narrative", and "Attachments". A help icon is present. The text explains that the attachments section is for uploading additional documentation and lists examples: Photographs (before, during & after), Project Narrative Report, and Other related project information. An "Action Required" note states that all Denali Commission projects are required to submit photographic documentation and to attach all applicable documents. A blue "Add New Attachment" link is provided. Below the link, a red message states "NO ATTACHMENT ENTRIES CURRENTLY DEFINED". At the bottom, "Back" and "Next" buttons are visible.

**Purpose:** This section is provided to attach additional documentation to the progress report.  
**Note:** If you do not need to attach a document(s), click **Next** to continue.

**Action Required:** Click the **Add New Attachment** link. The following edit screen appears:

Title:

Description:  Up to 400 characters. Current count:

Date:  (mm/dd/yyyy)

Attachment Type:

Attachment File to Upload:

\* = Required field

- a) Enter the information in the **\*required fields** and click the **Browse** button to locate the file you want to attach to the report. Click **Save**.
- b) The new attachment is listed in attachment table as shown below.
- c) The new attachment will appear in the attachments table. These steps may be repeated as many times as necessary until all attachments have been uploaded.

After all attachments have been added, click **Next** to continue.

### Attachments Definitions

- **Photographic Documentation** of project progress shall be provided with the progress reports for active construction projects. The photo documentation shall include a minimum of three, dated photos per quarter such that a complete record of the construction is maintained over time, from before, showing the situation before the start of construction, to during showing work proceeding on the project, and after to show the finished project. For minor repair and O&M projects, pictures should be provided of before and after to the extent possible. Photos may be provided as photo quality, 3x5 prints with negative for each picture, and/or print quality electronic photos (digital images). A short description of the activity and names of those in the photos shall also be provided.
- **Project Narrative Report:** A narrative summary of the project status and accomplishments to date which addresses the following questions: is the project on schedule, is the project on budget, and what actions are planned to address any project problems.
- **Other Related Project Information:** Any other related project information describing major activities and exceptions relating to cost, scope, and schedule over the reporting period.

### Step 7 - Review and Submit

## Submitting a Progress Report Step 7 - Review and Submit

[SITE MAP](#) | [HELP](#) | [LOGOUT](#)

**Progress Report Submission 0116-DC-2004-12**  
**Statewide: Project Testing**

---

Reporting Period | Funding | Expenditures | Milestones | Narrative | Attachments | Review

**Progress Report for 10/01/2003 - 11/31/2004**     [Print Friendly Version](#)  
Click the arrow or headline to expand or collapse each section you would like to review.

- ▶ **Funding**
- ▶ **Expenditures**
- ▶ **Milestones**
- ▶ **Narrative**
- ▶ **Attachments**

- a) Review the information on the final page.
- Click the arrow or heading to expand or collapse each section you would like to review.
  - Click **Back** or **Edit link** under each title to return to the previous page and make changes, if necessary.
  - The report does not need to be submitted at this step. Users can exit the reporting section without submitting and return later to add more data. Data that has already been entered has been saved, but has not been officially submitted to the Denali Commission.
  - A **printer friendly** version is also available for your records.
  - Once the report has been officially submitted, a courtesy copy of the report will also be e-mailed to the Recipient Project Manager.
- b) Click the **Submit to Denali Commission** button to officially submit the report.

Wage And Residency Report Submission for Alaska Village Electric Cooperative Project #246  
Elm Power System Upgrade

Reporting Period Wages Comments Review

Wage And Residency Report for 12/02/2003 - 12/01/2004

[Printer Friendly Version](#)

Click the arrow or heading to expand or collapse each section you would like to review.

▶ Wages

▶ Comments

Step 2 of 2

- a) Review the information on the final page.
- Click the arrow or heading to expand or collapse each section you would like to review.
  - Click **Back** or **Edit link** under each title to return to the previous page and make changes, if necessary.
  - The report does not need to be submitted at this step. Users can exit the reporting section without submitting and return later to add more data. Data that has already been entered has been saved, but has not been officially submitted to the Denali Commission.
  - A **Printer Friendly Version** is also available for your records.
  - Once the report has been officially submitted, a courtesy copy of the report will also be e-mailed to the Recipient Project Manager.
- b) Click the **Submit to Denali Commission** button to officially submit the report.

# Submitting a Project Close-out Report

The process of submitting a Project Close-out report is very similar to submitting a progress report, with a few minor exceptions. For detailed instructions, please see the steps for Submitting a Progress Report. Only the exceptions will be noted here.

**Note: The Denali Commission must activate the Project Close-out report. Please contact the Denali Commission Program Manager to request this.**

**Reporting Period:** When submitting a project close-out report, the reporting period will include the entire Award Performance Period, as identified in the Financial Assistance Award.

**Project Expenditure Summary:** At project close-out only, the Denali Commission collects a breakdown of the project costs by six categories.

The screenshot shows the 'PROJECT DATABASE SYSTEM' interface. The main content area displays a 'Project Expenditure Summary' table. The table has columns for 'Category', 'Total Dollars', and 'Percentage'. Below the main table, there is a section for 'Project Expenditure Summary' with a sub-table showing 'Actual' and 'Budgeted' values for various categories.

Category	Total Dollars	Percentage
Travel	\$ 49,207.00	10%
Materials	\$ 104,200.00	23%
Freight	\$ 47,246.00	10%
Personnel	\$ 11,200.00	2%
Travel Expenditure	\$ 11,200.00	2%
<b>Total Expenditures</b>	<b>\$ 123,053.00</b>	<b>27%</b>

## Project Expenditure Summary Definitions

- **Freight:** All costs associated with freight and mobilization (& demobilization) of materials and equipment necessary for the proper construction and acceptable completion of a project.
- **Labor:** All costs associated with any work performed by an employee, be it through force account or contract. Costs associated with project management, administration, and overhead at the Partner and Commission level should not be included.
- **Materials:** All costs associated with any products or substances specified for use in the construction of a project. This includes all machinery, tools, and apparatus necessary for the proper construction and acceptable completion of a project.

- **Other:** All costs outside the scope of planning, design, materials, equipment, freight, mobilization, labor, project management, administration and overhead.
- **Planning & Design:** All costs associated with the development of preliminary, intermediate, and final schemes necessary to enter the construction phase of the project. This includes the cost of all graphical representations, Code and Conditions Surveys, and Business Plans, etc.
- **Project Administration/Overhead:** All costs other than direct job costs associated with managing and/or supervising the execution of the project at the Partner level.
- **Total Expenditures:** The sum of all expenditure components paid out at that can be directly connected with the project.

## Continue making changes to a saved report

Reports are automatically saved at each step, which allows users to exit the database and return later to complete the report without losing any data entered previously.

**Note:** The report is not officially submitted until the recipient clicks the **Submit to Denali Commission** button at the end of the step-by-step process.

**Who does it?** Reports are submitted by the Recipient Project Manager.

1. From the project database main menu click **Project** and locate your project. Note: For details on how to search or filter for projects see the Searching for a Project section.
2. Once you have located your project, click **Reporting** from the Projects sub-menu. The following page appears:

The screenshot shows the 'PROJECT DATABASE SYSTEM' interface. The navigation menu includes Home, Awards, Projects, Indicators, and Admin. The 'Reporting' sub-menu is active, showing options for Search, Details, Financial, Reporting, Program, and Add New. The page title is 'Recipient Reports for Alaska Village Electric Cooperative Project #17: Ambler Extend Fuel Line to Airport and Tank Farm Modifications'. Below this, there are two tables: one for 'Upcoming Reports: None!' and one for 'Past Report Period'. The 'Past Report Period' table has columns for Report Type, Report Period, Due Date, Submitted, and Attachments. The user is identified as 'User: dgarita (Data Entry)' from the 'Denali Commission' organization. Contact information for the Denali Commission is provided at the bottom.

Report Type	Reporting Period	Due Date	Submitted	Attachments
Wage And Residency Report	12/02/2003-12/01/2004	12/31/2004		<a href="#">Add New Report</a>
Project Close Out Report	03/06/2001-12/31/2003	01/30/2004		<a href="#">Continue Existing Report</a>
Report Type	Report Period	Due Date	Submitted	Attachments
Wage And Residency Report	01/01/2003 - 12/31/2003	01/31/2004	02/03/2004	None

User: dgarita (Data Entry) User Organization: Denali Commission

DENALI COMMISSION  
 610 L Street, Suite 410, Anchorage, Alaska 99501  
 907-271-1414 Fax 907-271-1416 Toll Free 800-403-4321  
[Contact System Administrator](#)

3. In the report table click the **Continue Existing Report** link. This will allow you to make changes or complete the un-submitted report. For specific information about the details of each report, refer to the appropriate report section (i.e. Progress Reports, Wage and Residency Reports, or Single Audit Reports).

Denali Commission  
ALASKA

PROJECT DATABASE SYSTEM

Home Projects Indicators Admin

Search Details Financial Reporting Project

Report Reports Reporting Schedule

SITE MAP HELP LOGOUT

Sub-Project Recipient Reports for Project #0114-DC-2004-11  
Adak: testing

[Go To Button](#)

Progress Reports			
	Report Period	Is Submitted?	Attachments
<a href="#">View/Edit</a>	04/01/2004 - 06/30/2004	Not Submitted	None
<a href="#">View/Edit</a>	07/01/2004 - 09/30/2004	Not Submitted	None

[Go To Top](#)

4. To **Submit This Report** to the Denali Commission, complete each section of the report. Review the information and click the **Submit to Denali Commission** button.

## Making Changes to Previously Submitted Reports

Occasionally it may be necessary to submit corrections to a previously submitted report. In order to submit a corrected report, please contact the System Administrator at [dbadmin@denali.gov](mailto:dbadmin@denali.gov) or the Denali Commission Program Manager.

**Please do not add a new report in addition to the report previously submitted until instructed to do so.**

## View Previously Submitted Reports

**Who does it?** Reports can be viewed by all Database users.

1. From the project database main menu click **Project** and locate your project or sub-project. **Note:** For details on how to search or filter for projects see the Searching for a Project section.
2. Once you have located your project, click **Reporting** from the Projects sub-menu. The following page appears:

Recipient Reports for Alaska Village Electric Cooperative Project #27B  
Toksook Bay, Tununak Inter tie - Tununak

2 Upcoming Reports Found

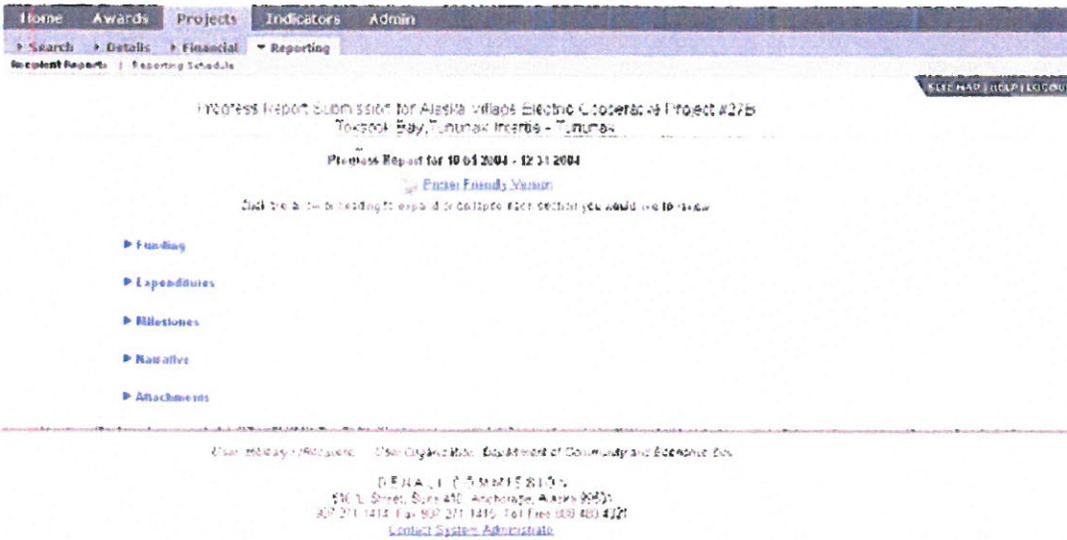
Report Type	Reporting Period	Due Date	
Progress Report	01/01/2005-03/31/2005	04/30/2005	<a href="#">Add New Report</a>
Wage And Residency Report	12/01/2005-12/01/2004	12/31/2004	<a href="#">Add New Report</a>

4 Past Reports Found

Report Type	Report Period	Due Date	Submitted	Attachments
 Progress Report	10/01/2004 - 12/31/2004	01/31/2005	02/11/2005	None
 Progress Report	07/01/2004 - 09/30/2004	10/03/2004	10/29/2004	None
 Progress Report	04/01/2004 - 06/30/2004	07/30/2004	08/27/2004	None
 Progress Report	01/01/2004 - 03/31/2004	04/30/2004	07/14/2004	None

User Agency (Data Entry): User Organization: Denali Commission

3. The report table will display a list of upcoming and past reports. In the past reports section, select the pencil icon to the left of the previously submitted report you wish to view. The following page appears:



Progress Report Submission for Alaska Village Electric Cooperative Project #27B  
Toksook Bay, Tununak Inter tie - Tununak

Progress Report for 10/01/2004 - 12/31/2004

[Printer Friendly Version](#)

Click the arrow heading to expand or collapse each section you would like to view

- [▶ Funding](#)
- [▶ Expenditures](#)
- [▶ Milestones](#)
- [▶ Narrative](#)
- [▶ Attachments](#)

User Agency: (Recipient): User Organization: Department of Community and Economic Dev.  
 DENALI COMMISSION  
 530 L Street, Suite 430 Anchorage, Alaska 99501  
 907 271 1414 Fax: 907 271 1415 Toll Free: 800 460 4221  
[Contact System Administrator](#)

4. Click on the arrow or heading to expand or collapse each section you would like to view, or click the Printer Friendly Version link to view the entire report.

## Units and Total Cost at Completion in the Milestones Section

### Definitions:

#### *Units (estimated/actual):*

**For construction projects such as tank farms or health clinics:** The estimated/actual capacity or quantity as defined in the project scope (i.e. total shell capacity in gallons, kilowatt output, or total square feet).

**For non-construction projects** such as economic development, feasibility studies, efficiency upgrades, needs assessments, and equipment procurement: Units are not required.

#### *Total Cost at Completion (estimated/actual):*

**For construction projects such as tank farms or health clinics:** The estimated/actual total cost at completion of the project as defined in the project scope of the award document.

**For non-construction projects** such as training, economic development, feasibility studies, efficiency upgrades, needs assessments, and equipment procurement: Total Cost at Completion is not required.

### FAQs:

**Question:** For the cost, do I just provide the total cost for each individual phase or milestone?

**Answer:** No, the *Total Cost at Completion* includes all of the estimated/actual costs of the project, as defined in the project scope of the award document (e.g. design, construction, etc...).

**Question:** The benchmark costs for energy projects don't include design costs. How do I account for that?

**Answer:** Show the design costs as a separate item in your cost containment analysis, so that it can be clearly identified.

**Question:** When do I enter the *Units and Total Cost at Completion* for each milestone?

**Answer:** *Units and Total Cost at Completion* are required at the completion of each milestone (i.e. when you enter the milestone's *Actual End date*).

**Question:** What is meant by estimated/actual?

**Answer:** *Units and Total Cost at Completion* are estimated amounts for all milestones except the project close-out milestone. For example, once the *Final Design Milestone* has been completed, there should be an *Estimated Total Cost at Completion* dollar amount (which would include all the design costs incurred, and the estimated construction costs to complete the product), and estimated units to be constructed. This estimate may come from a final design report, or a construction cost estimate, or other documents the recipient uses for estimating purposes.

**Question:** My project is a non-construction project, what do I put in the *Units and Total Cost at Completion* sections?

**Answer:** Leave them blank. *Units and Total Cost at Completion* are not required for non-construction projects.

**Question:** The Denali Commission is funding only a portion of a larger project, how do I determine the *Units*?

**Answer:** Contact the Denali Commission Program Manager, who will determine the appropriate units for each unique project.

**Question:** The scope of the project has changed from the concept (or final design). Now my *Estimated Units and Total Cost at Completion* are different than previously reported. How do I show the change?

**Answer:** Contact the Denali Commission Program Manager, who will determine the appropriate units for each unique project.

### Example of Milestones Table

The example below shows the normal progression of a Bulk Fuel Construction project, and the data required in the milestones table at each step. The first table below is an example of a milestones table that is completed correctly; a detailed step-by-step of this example follows:

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2006	01/21/2007	62,500 Gallons	\$629,208.00
Final Design	01/31/2007	06/14/2007	01/31/2007	06/14/2007	81,639 Gallons	\$695,460.00
<u>Comments:</u> Storage capacity increase based on revisited projection of community needs, total cost estimate also increased.						
Construction	07/01/2007	08/15/2007	06/25/2007	10/15/2007	81,639 Gallons	\$592,678.00
<u>Comments:</u> Project came in under budget due to equipment cost savings.						
Project Close-out	10/15/2007	01/13/2008	10/15/2007	12/31/2007	81,639 Gallons	\$592,678.00

### Step-by-step Work Flow for Milestones Table

1. At the beginning of the project, add **planned start and end dates** and the **actual start date** for the first milestone (which is Conceptual Planning in the example on the next page).

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2007			

2. When the first milestone is completed, add the **actual end date**, the **estimated units** to be constructed, and the **estimated total cost at completion** for the entire project (not just the Conceptual Planning phase). These estimates should be based on design documents, or other documents used by the

recipient for estimating, and should be the best estimated at that time. In the example below, the Conceptual Planning phase ended on 01/21/2007, and at that time, it was estimated that at the completion of this project, the capacity of this project (Units) is estimated to be 62,500 gallons, and the estimated Total Cost at Completion for the entire project is \$629,208.00. The **planned start and end dates** for the next milestone should also be added. The **actual start date** can also be added if appropriate.

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2006	01/21/2007	62,500 Gallons	\$629,208.00
Final Design	01/31/2007	06/14/2007	01/31/2007			

3. When the second milestone is completed, add the **actual end date**, the **estimated units** to be constructed, and the **estimated total cost at completion** for the entire project, not just the Final Design phase. These estimates should be based on design documents, or other documents used by the recipient for estimating, which may be different than original estimates at Conceptual Planning, but should be the best estimate at the time. In this example, the Final Design phase ended on 06/14/2007, and at that time, it was estimated that at the completion of this project, the capacity of this project (Units) is estimated to be 81,639 gallons, and the estimated Total Cost at Completion for the entire project is \$695,460.00. Note that at the end of final design, both the Units and Total Cost at Completion increased since the conceptual planning phase. **An explanation of the change in Units or Cost should be added in the Comments field.** If appropriate, the **planned start dates** for the next milestone, the **actual start date** can be added if appropriate.

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2006	01/21/2007	62,500 Gallons	\$629,208.00
Final Design	01/31/2007	06/14/2007	01/31/2007	06/14/2007	81,639 Gallons	\$695,460.00
<p><b>Comments:</b> Storage capacity increase based on revisited projection of community needs, total cost estimate also increased.</p>						
Construction	07/01/2007	08/15/2007	06/25/2007			

4. When the third milestone is completed, add the **actual end date**, the **estimated units** to be constructed, and the **estimated total cost at completion** for the entire project, not just the Construction phase. These estimates should be based on design or construction documents, or other documents used by the recipient. At the end of construction, when beneficial occupancy is achieved, the Units and Total Cost at Completion should be almost finalized, but there may be slight changes in scope or cost during the project close-out phase that would cause these numbers to change. This should be the best estimate at the time, and almost finalized. In this example, the construction phased ended on 10/15/2007, and at that time, it was estimated that at the completion of this project, the capacity of this project (Units) is estimated at 81,639 gallons, and the estimated Total Cost at Completion for the entire project is

\$592,678.00. Note that at the end of construction, the Units constructed were the same as projected at the end of final design, but the Total Cost at Completion decreased from the final design phase. An explanation of the change in Cost should be added in the Comments field. If appropriate, add the planned start dates and the actual start date for the next milestone.

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2006	01/21/2007	62,500 Gallons	\$629,208.00
Final Design	01/31/2007	06/14/2007	01/31/2007	06/14/2007	81,639 Gallons	\$695,460.00
<u>Comments:</u> Storage capacity increase based on revisited projection of community needs, total cost estimate also increased.						
Construction	07/01/2007	08/15/2007	06/25/2007	10/15/2007	81,639 Gallons	\$592,678.00
<u>Comments:</u> Project came in under budget due to equipment cost savings.						
Project Close-out	10/15/2007	01/13/2008	10/15/2007			

5. When the recipient has completed the project close-out and is submitting the final close-out report on the Project Database System, add the actual end date for the project close-out milestone, and the actual capacity (Units), and the actual cost at completion. These figures should all be finalized, actual figures, and no longer estimated amounts.

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
Conceptual Planning	02/15/2006	09/30/2006	02/15/2006	01/21/2007	62,500 Gallons	\$629,208.00
Final Design	01/31/2007	06/14/2007	01/31/2007	06/14/2007	81,639 Gallons	\$695,460.00
<u>Comments:</u> Storage capacity increase based on revisited projection of community needs, total cost estimate also increased.						
Construction	07/01/2007	08/15/2007	06/25/2007	10/15/2007	81,639 Gallons	\$592,678.00
<u>Comments:</u> Project came in under budget due to equipment cost savings.						
Project Close-out	10/15/2007	01/13/2008	10/15/2007	12/31/2007	81,639 Gallons	\$592,678.00

# APPENDIX B

---

## How to complete Standard Form 270:

It is required that boxes **1-9**, **11**, and **13** be completed in order to receive reimbursement.

- Box 1a. Check “Reimbursement” or “Advance”
- Box 1b. Check “Partial” or “Final”
- Box 2 Check “Cash”
- Box 3 Fill-in “Denali Commission”
- Box 4 Input the Financial Assistance Award number. If the request is for more than one project, attach a separate sheet that shows the aggregate amounts and each project number.
- Box 5 indicate what number this request represents
- Box 6 Enter your employer identification number assigned by the U.S. Internal Revenue Service
- Box 7 Place an account number or other identifying number assigned by the recipient
- Box 8 Identify the beginning and ending day, month, and year that the reimbursement request is for
- Box 9 Should contain your organization name and address
- Section 11 is the most complex.

The purpose the vertical columns of (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program function or activity. Also, the summary total of all programs, functions, or activities should be shown in the “total” column.

For the horizontal columns only (a), (c), (e), (g), (h), and (I) are required. For the majority of reimbursement requests columns (a), (b), (e), and (g)

will contain the same number. This number will be the amount of expenses you have accrued on this grant as of the “to-date” in box 8. Line (h) should be the total amount of money you have been reimbursed for this grant thus far. Which means that line (I) is the amount that you are requesting reimbursement for with this request.

- Box 13 – Fill in the name, title, and phone number and signature of the Authorized Certifying Official as well as the date the request has been submitted to the Denali Commission.

# APPENDIX C

---



**Denali Commission**  
510 L Street, Suite 410  
Anchorage, AK 99501

907.271.1414 *tel*  
907.271.1415 *fax*  
888.480.4321 *toll free*  
[www.denali.gov](http://www.denali.gov)

---

**DENALI COMMISSION POLICIES**  
**Approved 11/18/08**  
**Denali Commission Quarterly Meeting**  
**Anchorage, AK**

Since its inception in 1998 the Denali Commission (Commission) has developed a number of policies intended to guide federal funds investment in the most efficient, effective and prudent manner possible, while at the same time maximizing the benefit to Alaskan communities and residents in the areas of infrastructure development, economic development and training and workforce development. These policies have been adopted through various methods including: passage via resolution or motion. To-date the Commission has adopted the following policies, which appear in more detailed form below:

- Investment Guidance
- Sustainability
- Community Planning
- Open Door
- Private Enterprise
- Competitive Bid
- Cost Containment

**INVESTMENT GUIDANCE**

The Denali Commission (Commission) is committed to accelerating the building of sustainable infrastructure in rural Alaska to enhance the health and safety of rural residents and to provide the underpinnings for economic opportunity. Commission investments are directed by federal law, by the Commission's Annual Work Plan. Infrastructure needs of rural Alaska are enormous compared to available funding, thus, it is imperative that each dollar be invested in a way that will maximize the sustainable long term benefits to Alaskans.

Factors which will influence investment decisions:

*Imminent environmental threats*

Facilities will be placed so as to be protected from imminent environmental threats such as flooding and erosion. Long term investments generally will not be made in areas that are subject to imminent environmental threats.

*Priority to be placed on needs of existing communities*

The Commission will give priority to the critical infrastructure needs of existing communities before considering proposals to create new communities unless there is relocation of an existing community.

### *Regional support*

The Commission recognizes that borough, tribal and local government involvement increases the probability that basic infrastructure and services provided with Denali Commission funds will be sustained over the long term. The Commission also recognizes that other regional organizations share both responsibility and capacity to contribute to sustainability. Consistency with regionally approved plans is a factor lending strength to investing in a particular project. The Commission shall give priority consideration to projects that have regional support and demonstrate regional planning and coordination. In general, the Commission will require regional planning documentation before providing funding for projects. Consideration will be given to the unique geographic boundaries, regional organizations and project requirements. The Commission may prioritize regional and/or multi-community projects.

### *Proximity/access to existing services and/or facilities*

In determining the need for a new facility, a careful evaluation of existing access to services or facilities will be performed. Where the needs of two or more communities in close proximity to one another can be adequately and more cost effectively served by a single facility, that option will be selected over separate facilities for each community. Investments will be made where critical unmet needs are demonstrated. In general, the Commission will not fund projects for like facilities in communities within a twenty mile distance of one another, and accessible by year-round road service.

### *Renovation versus new construction*

Where existing facilities can be renovated or expanded to adequately meet community needs at significantly lower life-cycle costs than new construction, that option will be favored.

### *Population trends*

Infrastructure will be sized to meet needs that can reasonably be projected over the design life of the project. If population is increasing, appropriate excess capacity will be provided to accommodate growth. Decreasing population may result in a smaller facility than the current population would dictate. The Commission will require additional documentation of community and project sustainability in communities that have any of the following characteristics: populations less than 100 year round residents, significant (20% or greater) population fluctuations (either decrease or increase), and projected or actual closure of State of Alaska school facilities.

### *Affordability*

The Commission will evaluate proponents' capacities to afford the life-cycle costs associated with sustaining proposed services and/or facilities, either through user fees, industry support, government transfer payments or grants from private entities.

### *Unit cost*

Unit cost of construction varies widely across the state for a number of reasons including the technology employed and/or designs utilized. High unit cost tends to work counter to project sustainability. Some of the variables impacting unit cost (project location, soil conditions, etc.) are not controllable, but many others are. The Commission will make every reasonable effort to control unit cost to ensure that the most appropriate technology and designs are applied. However, in cases where the Commission deems unit costs too high, the Commission reserves the right to pursue alternative construction and design methodology, including, but not limited to,

all of the following: re-design, value engineering, alternative size, relocating or siting and revision of the construction budget.

#### *Good faith*

The long term sustainability of Commission investments is highly dependent on the good faith of the recipients of those investments. In evaluating potential investments the Commission will give priority to advocates who have historically demonstrated good faith in making and keeping financial commitments. Previous demonstrations of bad faith, particularly with previous state or federal investments or failure to pay taxes, may preclude additional investments.

#### *Match Funding*

The Commission will give priority to projects that have cost share match from the following sources: the State of Alaska, other federal government agencies and other (to include local, tribal, corporate, philanthropic, etc.) in addition to Commission funding for a project. Local sources of match may include, but are not limited to, the following: land valuation, equipment, right of way, etc. In some cases, the Commission shall require a cost share match contribution from one or all of the sources listed above prior to approving funding. This requirement does not apply to the statutory cost share match identified for the health facilities program. Projects which provide a variety of match funding from multiple sources shall be viewed more favorably than those that do not.

#### *Implementation*

The Commission will consider all available information regarding each of the factors identified above and any other relevant information in making investment decisions. In cases where sustainability of an investment is questionable, the Commission, either directly or through its Partners, will work with project proponents to attempt to find workable solutions. It will be incumbent on requestors to provide pertinent information that is not otherwise available and to actively engage in the effort to develop workable solutions. Solutions may involve smaller scale or mobile facilities and may include multi-community or regional management approaches. If no workable sustainable solution is apparent, the Commission or its Partners may suggest alternative means to access critical services.

### SUSTAINABILITY POLICY

For the purposes of Denali Commission funded infrastructure projects, sustainability is defined as the ability of a recipient or applicant to demonstrate the capacity, both administratively and financially, to provide for the long-term operation and maintenance (typically a 30 year life cycle) of a facility. This demonstration may include such factors as maintenance costs, fuel/heating costs, staffing/personnel costs, insurance as applicable, bonding, cost escalation factors, etc. Further, sustainability includes all costs associated with management, operation and maintenance, renewal and replacement necessary to maintain a given level of service.

The Sustainability Policy indicates that because the Commission, through its enabling legislation, is charged with ensuring that all infrastructure projects demonstrate sustainability prior to Commission funding projects must provide documentation of their ability to meet the definition above. In most Commission programs this is achieved through the business plan process. However, applicants may also be asked to revise business plans, or application documents as their projects progress through the different phases of project development.

The Commission recognizes that the high cost of infrastructure makes it infeasible for the total costs of all services in all communities to be borne by local users; however, to the extent feasible, user rates should include all costs necessary to achieve sustainability.

All practical steps should be taken, including simplification of projects, standardization of infrastructure, combining of facilities, regionalization of management structures, bulk purchases of fuels, training and development of management personnel and other actions that reduce the cost of sustainable infrastructure.

To the greatest extent possible the Commission will encourage and advocate for other project funders and program partners to participate in the earliest phases of project development and the application process.

The Commission recognizes the importance of the business planning process, however, also understands that the business plan presents a “snapshot” of a project and a community at a particular point in time. To that end, the Commission shall require documentation related to sustainability over the course of a project’s various phases (planning, design, and construction), and shall reserve the ability to alter project funding and design and construction specifications pursuant to documentation review.

The Commission will use as many existing community planning and sustainability indicators as possible in project selection including, but not limited to, the following: Rural Utility Business Advisor (RUBA) documentation and analysis, regional and local community planning documents, and infrastructure prioritization lists.

#### COMMUNITY PLANNING POLICY

The Commission recognizes the importance of a community plan in the community development process. The plan demonstrates the community’s goals and ability to focus on future initiatives.

The plan should be the community’s starting point for any outside agency or business considering work in a community. Title 29 of the Alaska Statutes states that boroughs and first class cities established under state law shall be responsible for land use planning. In communities outside organized boroughs (and not first class cities), the task for identifying who is responsible for community planning falls to local leadership including recognized tribes in a community.

The Commission requires communities to provide a copy of their current community plan when submitting funding requests. The reason for this request is two-fold: 1) the plan provides a current economic, social, and infrastructure summary of a community and 2) the plan provides a prioritized list of projects for which the community is seeking funding assistance. The plan also explains how the community intends to sustain its existing infrastructure as well as any additional infrastructure. In general, any infrastructure projects identified for funding from the Commission should also appear as a prioritized infrastructure goal, or initiative in the community plan submitted by the applicant community.

Community plans submitted to the Commission are retained in the project file, and are also provided to the State of Alaska, Department of Commerce, Community and Economic Development to be added to the online database of community plans.

The Commission recognizes that successful project development is directly correlated to community planning. The Commission will make every effort to evaluate the benefits and potential costs of project investments against other community projects and initiatives, so that a holistic picture of community capacity and project development is utilized to make funding determinations. The Commission will rely largely on application and community planning detail to document this analysis, but may also utilize site visits and other sources of information.

#### OPEN DOOR POLICY

As the Commission is a federal entity, funded by federal appropriations the Commission requires that any funded infrastructure project be available to all potential users. This requirement may be documented in varying forms in Commission programs (for example, commitment to the open door policy is a component of the clinic business plan process).

#### PRIVATE ENTERPRISE POLICY

In general, the Commission will support private enterprise where it is functioning or can function efficiently and adequately to meet the needs of all members of the local community. Where private enterprise is inadequate or non-existent to achieve this purpose, consideration must be given to providing these services through other means. The Commission will not support the replacement of new structures for a publicly funded service to compete with services delivered by private enterprise as long as those services are:

1. Accessible to all members of a community including temporary members;
2. Reasonably priced when compared to comparable communities;
3. Predictably available and sustainable for the long term.

All proposals for new or upgraded infrastructure facilities to be funded with Denali Commission funds shall be evaluated on the basis of public benefits resulting from the project. A proposal for funding may be approved where the facility is or will be owned, operated, and/or maintained by private entities only if there is found to be a direct and substantial public benefit from the project.

Facilities funded in whole or in part by the Denali Commission may not be sold, leased, sub-leased, or interest otherwise assigned without the express approval of the Denali Commission or its successor agency. In any event, the facility shall continue to provide the originally intended public benefit until such time as that public need no longer exists or until the serviceable life of the facility has expired.

Funding decisions must take into account existing private enterprise in the community. Funding should not generally be used to create new or additional competition with existing private enterprise in the community. However in cases where an unregulated monopolistic or other wise inefficient condition exist in which current services are not available at fair and reasonable rates the Commission, after appropriate consultation, may consider funding projects that would contribute to more competitive rates.

*Provisions Specific to Health Care:* The Commission seeks to support health care facilities in a manner which improves access to quality, affordable health services, be it by a private entity or a publicly funded one. The Denali Commission does not seek to create or enhance competition in an inefficient market. In this scenario, an inefficient market is one that cannot support two mutually exclusive health care providers. Given the economic fragility of rural health care systems, Denali Commission funding for health care facilities will be deployed in a manner

which encourages a cooperative and collaborative arrangement for the health benefit of the community in question, and improves the sustainability of the overall care delivery system for that population. Denali Commission health facility funding supports systems that ensure access to care for everyone regardless of ability to pay. It is expected that a system that is exclusively private in rural Alaska will not be able to meet that criteria. Thus, some integration of public and private provider entities will likely be required in areas where any private provider system currently exists.

*Provisions Specific to Bulk Fuel Storage:* The development of any bulk fuel storage consolidation project funded in whole or in part by Denali Commission funds will consult with all retail fuel suppliers within a community in the course of developing the project's conceptual design to ensure that their interests are understood and, to the extent feasible, dealt with in the course of conceptual design.

The existing market share balance among retail fuel suppliers within a community may be significantly altered as a result of a Denali Commission funding only if all of the affected retail fuel suppliers currently operating in the community agree to it or if such alteration is deemed necessary to facilitate competitive conditions in the community. For each type of fuel, the existing market share for a retail fuel supplier is defined as the supplier's existing in-service storage capacity as a percentage of the total gallons of existing in-service storage capacity for all retail fuel suppliers in the community.

Where multiple retail fuel suppliers are involved in a project, comparable levels of investment in project costs (based on market share) will be sought from each participating retail fuel supplier in the community, whether public or private.

Denali Commission funds may be used to upgrade or replace fuel storage facilities owned by private sector retail fuel suppliers if there is determined to be significant public benefit. However, to ensure that long term project benefits flow through to the public, such new or improved fuel storage and dispensing facilities will generally be owned by a local government entity which may lease the facilities to the private sector fuel supplier at a nominal cost or contract with the private sector fuel supplier for facility operation. The term of such lease or contract will be for the life of the assets, and is not transferable as an asset of the leaseholder without express written approval of the Denali Commission or its successor agency.

#### COMPETITIVE BID POLICY

Any infrastructure project funded by the Denali Commission with a total project cost (to include the planning, design and construction phases) of \$3 million or greater shall be competitively bid. A waiver to this policy may be granted if an applicant demonstrates that it is in the best economic, cultural or social interest of a community or region to not competitively bid a project. The waiver request must document the benefit to the federal government (in the form of cost savings, job creation, etc.) and the community and/or region of not utilizing a competitive bid process. Key considerations for reviewing the waiver request will include cost, local preference, career training, opportunities for local hire, and local economic impact.

In general, and to the greatest extent possible the Commission shall encourage the use of community and regional hire for construction projects.

### COST CONTAINMENT POLICY

The Denali Commission is committed to both internal and external cost containment for all of its programs. All Commission projects are to be sustainable and that requires examining projects on a life-cycle cost basis in the context of the community's long-term development plan. The trade-offs between initial costs of construction and long-term operating and maintenance costs must seek to minimize the true life cycle costs of the project.

The Commission requires cost effective designs, need specific designs, competitive procurement, effective project management, and maximization of cost benefit via project selection.

The Commission shall evaluate all infrastructure facilities (excluding transportation) against the benchmarks which are produced under contract on an annual basis. Commission program partners shall be required to produce cost estimate detail and project budgets in accordance with the annual benchmarks, and shall be required to justify any budget requests that are not in keeping with the benchmark figures.

### POLICY APPEALS PROCESS

Appeals to any of these policies should be sent to the Denali Commission Federal Co-Chair, and the State Co-Chair, in writing.

# APPENDIX D

---

## **Appendix I**

### **National Environmental Policy Act Guidelines For Projects Funded by the Commission**

16 July 2015

If the Recipient's Scope of Work (SOW) requires the delivery of a draft Environmental Assessment (EA) the Recipient will ensure the document is prepared in accordance with 40 CFR Parts 1501-1508. In the process of preparing the EA the Recipient shall coordinate with all appropriate state and federal agencies in accordance with 40 CFR 1503. The Recipient shall submit the draft EA and supporting material to the Denali Commission which will review the documents to ensure conformity with the National Environmental Policy Act (NEPA) and 40 CFR Parts 1501-1508. The Recipient will make any necessary changes to the EA as directed by the Commission. The Recipient will then manage a 30 day public notice process that provides the public a means of making comments. The Recipient shall consult with the Commission during this process on substantive comments. Once the public notice process is complete, the Recipient shall make all appropriate changes to the EA documents and then submit a final EA, a summary of the public notice process, and a draft Finding of No Significant Impact (FONSI) if appropriate, to the Denali Commission for final review and signature.

At a minimum the EA must address potential impacts related to the following:

- Geology and Soils
- Air Quality
- Water Resources
- Wastewater Facilities
- Occupational Safety and Health
- Hazardous Materials
- Solid Waste
- Noise Pollution
- Biological Resources
- Cultural Resources
- Socio-economic factors

If it is determined that a project requires an Environmental Impact Statement (EIS), the Denali Commission and Recipient will develop the procedures for producing the EIS on a case by case basis.