



Recipient Guidelines and Requirements

September 2018

APPROVED

A handwritten signature in blue ink, reading "John Torgerson", written over a horizontal line.

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Interim Federal Co-Chair

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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 the Commission's Grants Office at (907) 271-1414.

Information about the Denali Commission can be obtained on our web site, www.denali.gov.

I. PROJECT MANAGEMENT

- *What To Do First*

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

Log in to the 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 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 st Quarter: October 1 thru December 31	Reports Due on January 30
2 nd Quarter: January 1 thru March 31	Reports Due April 30
3 rd Quarter: April 1 thru June 30	Reports Due July 30
4 th 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
 - o Labor
 - o Materials, Equipment, Freight and Other Direct Costs
 - o 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, and a final reconciliation of any match funding requirements.

Closeout reports should be stand-alone pdf documents that are uploaded as attachments in the Commission's Project Database System. 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 and include information on project budget and list all funding sources and amounts. 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. The report must review and highlight all activities that occurred during the project, including an assessment of all performance measures that were originally proposed. Closeout reports should also include information on schedule, delivery method, A/E, contractor, representative photos, etc. in a well-organized, logical format. The report is intended to be a stand-alone document summarizing the project so that it can be distributed to the public and other key stakeholders upon request.

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.

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. The SF-270 must be

submitted to the Denali Commission via e-mail at 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
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 must submit requests in advance for deviations in project scope, budget, schedule, or changed site conditions in accordance with 2 CFR 200.308. Requests for such changes must be submitted in writing 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-110 Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-profit Organizations

A-21 Cost Principles for Educational Institutions

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 at <https://harvester.census.gov/facweb/> 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.**

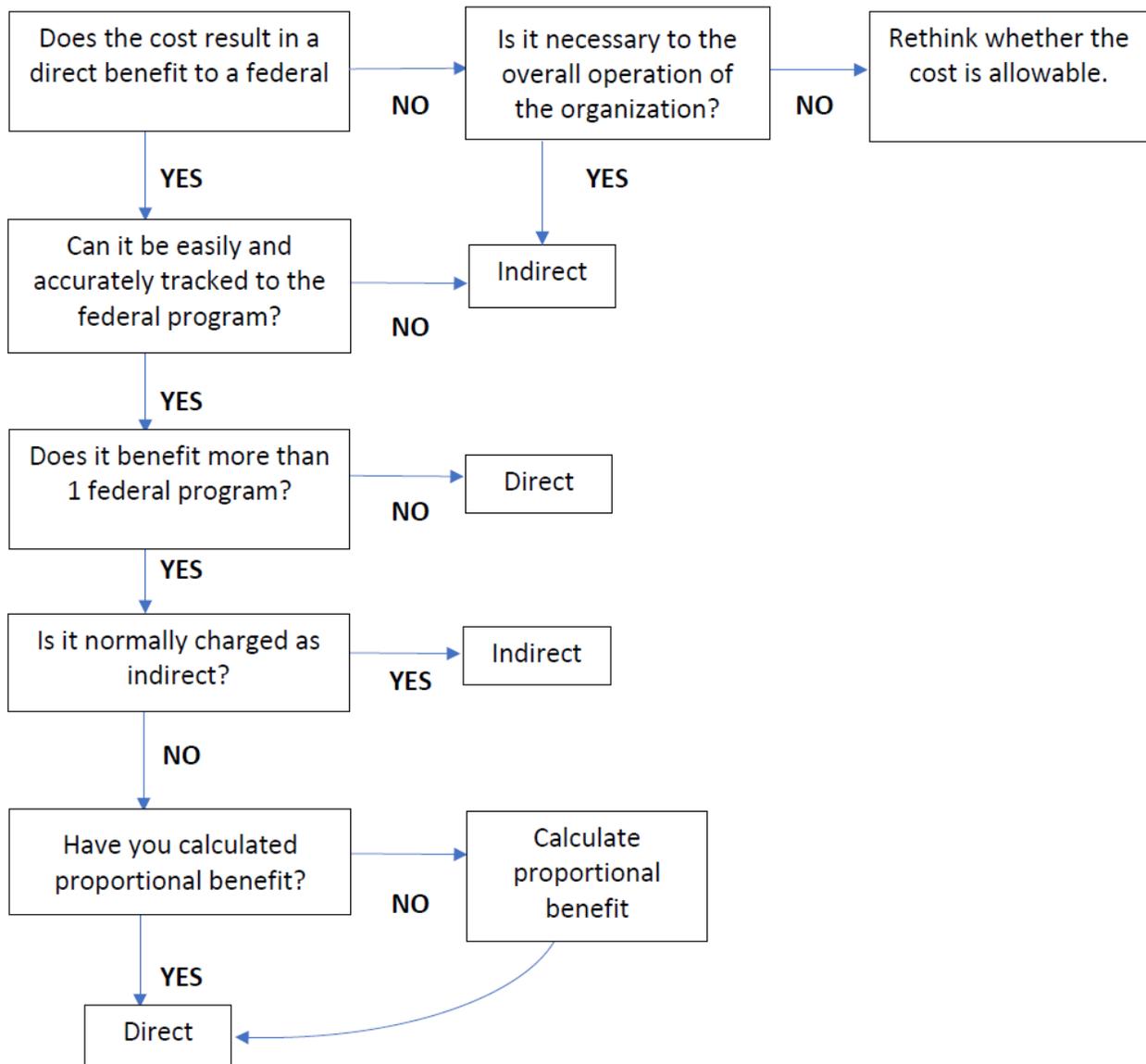
VI. DIRECT AND INDIRECT COSTS

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.

The following table may be useful in classifying direct and indirect costs:

Direct/Indirect Decision Tree



(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 a basis that produces 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 what indirect cost rate will be used to calculate their indirect costs in the FAA budget. If the rate is a Federally negotiated rate, the budget must include notes identifying the cognizant agency and date the rate was approved. In developing FAA budgets, Recipients and Sub-recipients shall apply an appropriate indirect cost rate to the Modified Total Direct Costs (MTDC) in the budget, unless there is a more appropriate/equitable distribution base for the specific indirect cost rate. If MTDC is not used in the calculation of indirect costs in the FAA budget, the Recipient or Sub-recipient shall submit a written explanation and request to the Commission for approval during development of the FAA budget.
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, 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. The Davis-Bacon Act does not apply to construction projects supported with Denali Commission “Base” funds (provided via Energy & Water Appropriation Bills) or “TAPL”

funds (allocations from the Trans-Alaska Pipeline Liability Fund). If FAA's include funds from other sources with specific Davis-Bacon requirements, said requirements will be included in the FAA Special Provisions.

VIII. ACKNOWLEDGEMENT OF SUPPORT

Recipients shall display a sign that acknowledges support for construction projects supported via Commission FAA's. 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 PROPERTY AND EQUIPMENT

Title to Real Property and Equipment acquired or improved via a Commission FAA will vest upon acquisition in the Recipient. However, such title is conditional in that the disposition requirements and restrictions set forth in 2 CFR 200.310 through 200.316 and other requirements in the FAA Special Provisions shall apply. Further, with respect to Real Property the Commission may impose post award reporting requirements in accordance with 2 CFR Part 200.329. Any such reporting requirements will be stipulated in the FAA Special Provisions. Recipients must submit required reports using Form SF-429 "Real Property Status Report", via e-mail to 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

FAA's may include specific requirements related to one or more of the following formal policies that have been adopted by the Commission.

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

Any such specific requirements will be identified either in the FAA Special Provisions or Attachment A of the FAA.

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 (Public Law 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 FAA’s, sub-awards, or contracts under awards issued beginning July 1, 2013 through January 1, 2017. The following requirement for all FAA’s implements this statute:

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 local 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 45 CFR 900 (Appendix C) 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 of the Denali Commission Project Database 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 blue to red. 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.

The Denali Commission project database provides program and project information at a specific point in time. It DOES NOT constitute either the official financial accounting, or obligation and expenditure record of the agency or its grantees. For details regarding a program or projects' current financial status or balance(s) please contact the Denali Commission Program Manager listed on the project database, or the Denali Commission at 907.271.1414.

My Project Database

My Tasks
 My PM Tasks
 My Projects
 My Awards

8 Tasks Found

Due	Task	Number	Community	Description
10/30/2014	Progress Report	1462	Statewide	Geothermal Heat Study Preliminary Investigation
07/30/2015	Progress Report	01483	Chickaloon	The Chickaloon Primary Care Clinic
04/30/2016	Progress Report	1484	Statewide	START Communities Technical Assistance
04/30/2016	Progress Report	01482	Allakaket	Allakaket Primary Care Clinic
10/30/2016	Progress Report	1469	Eklutna	Native of Eklutna Interpretive Wayside
01/30/2017	Returned Project Close-Out Report	01483	Chickaloon	The Chickaloon Primary Care Clinic
07/30/2017	Project Close-Out Report	61307	Emmonak	Community Road Improvements
04/30/2018	Project Close-Out Report	1479	Togak	Togak Rural Power System Upgrade

User: j.davis (Administrator) User Organization: Denali Commission

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[Contact System Administrator](#)

Method #2 – From the project database main menu, click **Projects** and search for your project by project number, project title, or recipient.

Once you've located and selected your project, click **Reporting** from the Projects sub-menu. The following page appears.

Recipient Reports for Alaska Energy Authority Project #1451
Statewide For EETF - Oceana In-Stream Hydrokinetic Device

1 Upcoming Report Found

Report Type	Reporting Period	Due Date
Progress Report	10/01/2016-12/31/2016	01/30/2017 Add New Report

13 Past Reports Found

Report Type	Current Status	Report Period	Due Date	Submitted	Attachments
-------------	----------------	---------------	----------	-----------	-------------

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- 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

The screenshot shows a web browser window with the URL https://cf.denali.gov/dcpdb/index.cfm?fuseAction=WizardReportingPeriod.ShowReportingPeriod&report_id=32744&printerFriendly=no. The page title is "PROJECT DATABASE SYSTEM". The navigation menu includes Home, Awards, Projects, Indicators, and Admin. The "Reporting" menu is expanded, showing options for Search, Details, Financial, Reporting, Program, and Add New. The "Reporting" sub-menu is active, showing Recipient Reports and Reporting Schedule. The main content area displays "Progress Report Submission for Alaska Energy Authority Project #1451" and "Statewide: For EETF - Oceana In-Stream Hydrokinetic Device". A tabbed interface shows "Reporting Period" as the active tab, with other tabs for Funding, Expenditures, Milestones, Narrative, Attachments, and Review. A list of instructions is provided:

- Use the **Next** and **Back** buttons or the menu bar to step through the screens. Any information added will automatically be saved upon clicking **Next**, **Back** or using the navigation panel.
- 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.

 An "Action Required" message states: "Select the Reporting Period". Below this, a "Reporting Period" section contains two dropdown menus: "From: 10/01/2016 (Start of Q1 2017)" and "To: 12/31/2016 (End of Q1 2017)". A note below the dropdowns says: "Note - clicking next or using the above navigation panel will save this data." At the bottom of the form, there is a "Delete unsubmitted report" button and a "Next" button. The footer includes the Denali Commission logo, contact information (510 L Street, Suite 410, Anchorage, Alaska 99501; 907-271-1414; Fax 907-271-1415; Toll Free 888-480-4321), and a link to "Contact System Administrator".

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

Reporting Period Definitions:

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

Step 2 – Funding

Submitting a Progress Report – Step 2 – Funding

Progress Report Submission for Alaska Energy Authority Project #1451
Statewide: For EETF - Oceana In-Stream Hydrokinetic Device

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

Funding for Project #1451
Alaska Energy Authority: For EETF - Oceana In-Stream Hydrokinetic Device

Funding Details ?
[Add New Other Funding Source](#)

3 Sources Found	
Funding Source	Amount
Total Denali Commission Funding: \$566,235.00	
Oceana Energy Company	\$620,000.00
State of Alaska	\$664,710.00
Total Other Funding: \$1,284,710.00	
Total Project Funding: \$1,850,945.00	

Note - clicking next or using the above navigation panel will save this data.

Step 2 of 7 [Back](#) [Next](#)

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 Managers 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 Alaska Energy Authority Project #1451
Statewide: For EETF - Oceana In-Stream Hydrokinetic Device

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

Other Funding Source for Alaska Energy Authority Project #1451
Statewide For EETF - Oceana In-Stream Hydrokinetic Device

Other Funding Source*:

If not found, provide new source:

Funding Amount*:

Funding Date*:

Comments: Up to 255 characters. Current count: 0

* = Required field

[Undo Changes](#) [Save](#)

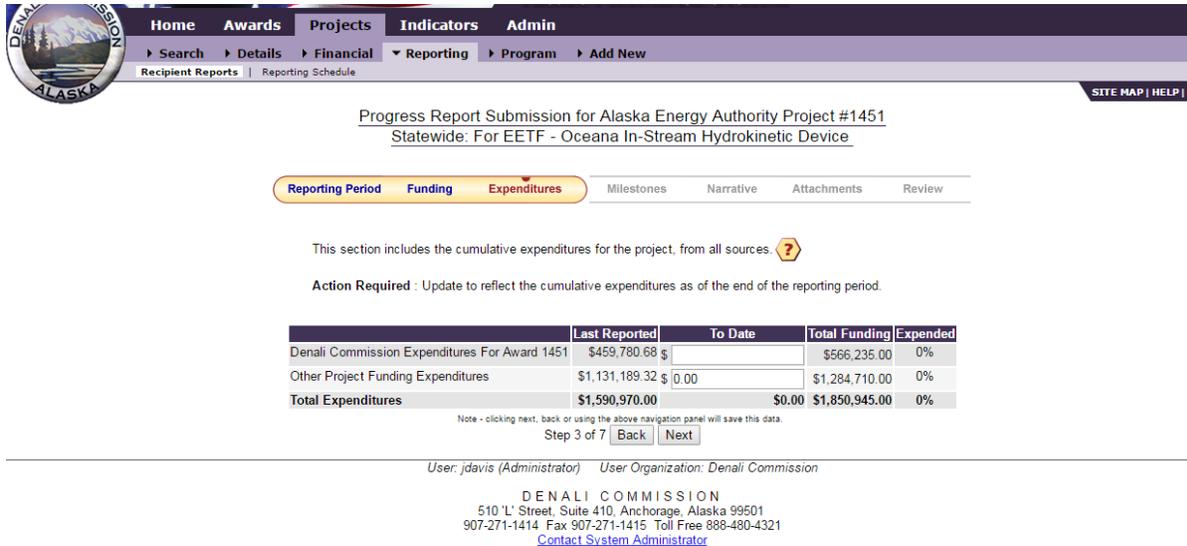
- b. To **change** an Other Funding source already in the list, click the **edit** pencil to the left of the funding source to be updated.
 - c. Use the drop-down list to select the source from which funding has been secured. If the source is not in the current list, select **Not found, See Below** from 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



Progress Report Submission for Alaska Energy Authority Project #1451
Statewide: For EETF - Oceana In-Stream Hydrokinetic Device

Reporting Period Funding Expenditures Milestones Narrative Attachments Review

This section includes the cumulative expenditures for the project, from all sources. ?

Action Required : Update to reflect the cumulative expenditures as of the end of the reporting period.

	Last Reported	To Date	Total Funding	Expended
Denali Commission Expenditures For Award 1451	\$459,780.68	\$	\$566,235.00	0%
Other Project Funding Expenditures	\$1,131,189.32	\$0.00	\$1,284,710.00	0%
Total Expenditures	\$1,590,970.00	\$0.00	\$1,850,945.00	0%

Note - clicking next, back or using the above navigation panel will save this data.
Step 3 of 7 [Back](#) [Next](#)

User: jdavis (Administrator) User Organization: Denali Commission

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[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.

Expenditure 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 drawn down 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

The screenshot shows the Denali Commission reporting system interface. The top navigation bar includes Home, Awards, Projects, Indicators, and Admin. Below this is a sub-navigation bar with Search, Details, Financial, Reporting, Program, and Add New. The main content area is titled "Progress Report Submission for Alaska Energy Authority Project #1451" and "Statewide: For EETF - Oceana In-Stream Hydrokinetic Device". A navigation panel highlights "Reporting Period", "Funding", "Expenditures", and "Milestones". A message states: "The milestones section captures the significant stages during the project life cycle." Below this is a "New Information Posted!" section with updated descriptions and a link to a help file. An "Action Required" section instructs users to update milestone data only if a milestone has been started or completed during the reporting period. A table shows 2 milestones found:

Milestone	Planned		Actual		Units	Total Cost At Completion
	Start Date	End Date	Start Date	End Date		
In-Progress	08/31/2012	12/31/2015	05/13/2013		0	\$0.00
Project Close-out	01/01/2017	03/30/2017			0	\$0.00

At the bottom of the screenshot, it says "Step 4 of 7" 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:

Edit Milestone for Project #1451
Alaska Energy Authority: For EETF - Oceana In-Stream Hydrokinetic Device

Milestone Type: In-Progress

Planned Start Date: (mm/dd/yyyy) Actual Start Date: (mm/dd/yyyy)

Planned End Date: (mm/dd/yyyy) Actual End Date: (mm/dd/yyyy)

Units: Choose One (estimated/actual)

Total Cost at Completion: (estimated/actual)

Comments: Up to 255 characters. Current count: 0

- 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 marshal, 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 the Denali Commission Reporting System interface. The top navigation bar includes links for Home, Awards, Projects, Indicators, and Admin. Below this, there are sub-links for Search, Details, Financial, Reporting, Program, and Add New. The current page is titled "Progress Report Submission for Alaska Energy Authority Project #1451" with the subtitle "Statewide: For EETF - Oceana In-Stream Hydrokinetic Device". A navigation bar below the title highlights "Narrative" among other options like Reporting Period, Funding, Expenditures, Milestones, Attachments, and Review. The main content area contains instructions: "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)". Below the instructions is a large text input area with a character count of 0. At the bottom, there is a note: "Note - clicking next, back or using the above navigation panel will save this data." and navigation buttons for "Step 5 of 7", "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 Alaska logo and navigation tabs: Home, Awards, Projects, Indicators, Admin. Below the tabs are links for Search, Details, Financial, Reporting, Program, and Add New. The main content area is titled "Progress Report Submission for Alaska Energy Authority Project #1451" and "Statewide: For EETF - Oceana In-Stream Hydrokinetic Device". A navigation bar at the top of the content area includes Reporting Period, Funding, Expenditures, Milestones, Narrative, Attachments (highlighted), and Review. A help icon is visible next to the Attachments tab. The text below the navigation bar states: "The attachments section is provided to upload additional documentation to the progress report. Examples of the types of attachments are:" followed by a bulleted list: "Photographs (before, during & after)", "Project Narrative Report", and "Other related project information". Below the list, it says "Action Required : Note - All Denali Commission projects are required to submit photographic documentation" and "Attach all applicable documents". A link "Add New Attachment" is present, followed by "0 Attachments Found". A note states: "Note - clicking next or using the above navigation panel will save this data." At the bottom, it says "Step 6 of 7" with "Back" and "Next" buttons.

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:

The screenshot shows the "Add/Edit Attachment" form. It includes the following fields: "Title*" (text input), "Description:" (text area, with a note "Up to 400 characters. Current count: 0"), "Date*" (text input, showing "12/14/2016" and "(mm/dd/yyyy)"), "Attachment Type*" (dropdown menu, showing "-- Select one --"), and "Attachment File to Upload*" (file upload button, showing "Choose File" and "No file chosen"). A footnote at the bottom left states "* = Required field". At the bottom of the form are "Undo Changes" and "Save" buttons.

- 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 the attachment table. These steps may be repeated as many times as necessary until all attachments have been uploaded.

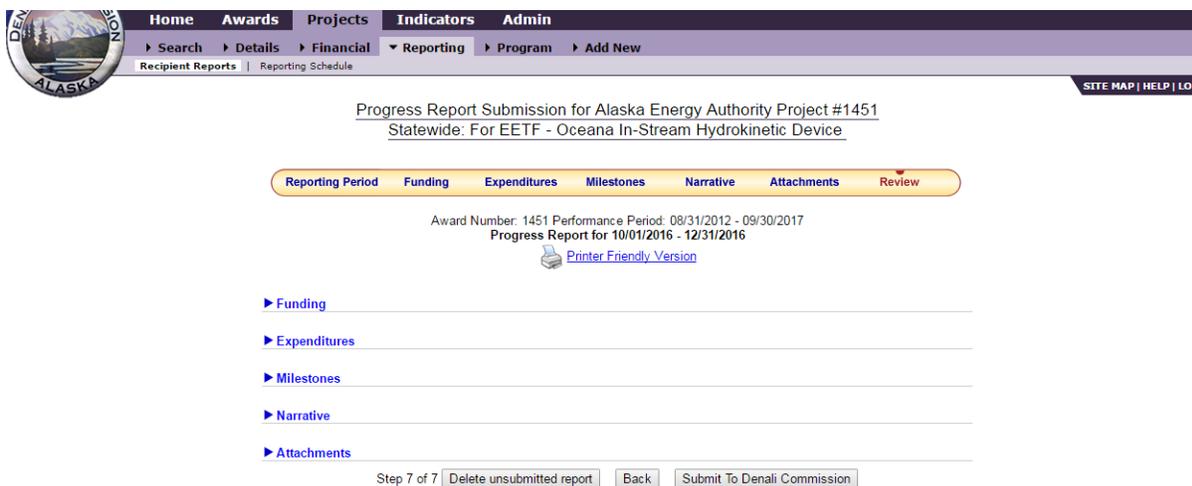
After all attachments have been added, click **Next** to continue.

Attachment 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



The screenshot displays the Denali Commission website interface for submitting a progress report. The navigation menu includes Home, Awards, Projects, Indicators, and Admin. The current page is titled "Progress Report Submission for Alaska Energy Authority Project #1451 Statewide: For EETF - Oceana In-Stream Hydrokinetic Device". The interface features a breadcrumb trail: Search > Details > Financial > Reporting > Program > Add New. A secondary menu includes Recipient Reports and Reporting Schedule. A "SITE MAP | HELP | LOG OUT" link is visible in the top right corner. The main content area shows a progress report submission form with tabs for Reporting Period, Funding, Expenditures, Milestones, Narrative, Attachments, and Review. The current report is for Award Number 1451, Performance Period 08/31/2012 - 09/30/2017, and is a Progress Report for 10/01/2016 - 12/31/2016. A "Printer Friendly Version" link is provided. The form includes sections for Funding, Expenditures, Milestones, Narrative, and Attachments. At the bottom, there are buttons for "Delete unsubmitted report", "Back", and "Submit To Denali Commission". The page number "Step 7 of 7" is displayed.

- 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 emailed 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 exceptions. For detailed instructions, please see the steps for Submitting a Progress Report.

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.

Project Expenditure Summary Definitions:

- **Freight:** All costs associated with freight and mobilization (and 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 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 costs 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.

A significant difference between the quarterly progress report and the Project Closeout Report is the requirement that recipients provide this report as a stand-alone PDF document. Upload the document as an attachment. Closeout Report requirements are described in greater detail on pages 6-7 of this publication.

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:



Recipient Reports for Alaska Energy Authority Project #1451
Statewide for EETF – Oceana In-Stream Hydrokinetic Device

1 Upcoming Report Found

Report Type	Reporting Period	Due Date	
Progress Report	07/01/2016-09/30/2016	10/30/2016	Continue Existing Report

1 Past Reports Found

	Report Type	Current Status	Report Period	Due Date	Submitted	Attachments
	Progress Report	Accepted	04/01/2016 - 06/30/2016	07/30/2016	10/26/2016	1 Attachment

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).
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 your Denali Commission Program Manager, Grants Management Officer at the Denali Commission (907-271-1414), or the System Administrator at dbadmin@denali.gov.

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 Energy Authority Project #1451
 Statewide for EETF – Oceana In-Stream Hydrokinetic Device
 1 Upcoming Report Found

Report Type	Reporting Period	Due Date	
Progress Report	10/01/2016-12/31/2016	01/30/2017	Add New Report

13 Past Reports Found

	Report Type	Current Status	Report Period	Due Date	Submitted	Attachments
	Progress Report	Accepted	07/01/2016 - 09/30/2016	10/30/2016	10/29/2016	1 Attachment
	Progress Report	Accepted	04/01/2016 - 06/30/2016	07/30/2016	08/09/2016	1 Attachment

- 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:

The screenshot displays the Denali Commission Project Database System interface. At the top left is the Denali Commission logo. The main navigation bar includes 'Home', 'Awards', 'Projects', 'Indicators', and 'Admin'. Below this is a secondary menu with 'Search', 'Details', 'Financial', 'Reporting', 'Program', and 'Add New'. The page title is 'Progress Report Submission for Alaska Energy Authority Project #1451 Statewide: For EETF - Oceana In-Stream Hydrokinetic Device'. A navigation bar below the title contains 'Reporting Period', 'Funding', 'Expenditures', 'Milestones', 'Narrative', 'Attachments', and 'Review'. The main content area shows the following information:

- Award Number: 1451 Performance Period: 08/31/2012 - 09/30/2017
- Progress Report for 07/01/2016 - 09/30/2016**
- Accepted by Tom Wolf on 10/31/2016
- Submitted by Salina Bearden on 10/29/2016
- [Printer Friendly Version](#)

Below this information are expandable sections for 'Funding', 'Expenditures', 'Milestones', 'Narrative', and 'Attachments', each with a blue arrow icon. At the bottom of the main content area, it says 'Step 7 of 7' and includes buttons for 'Delete submitted report', 'Send report back to PM', and 'Back'. The footer contains the user information: 'User: jdavis (Administrator) User Organization: Denali Commission' and the Denali Commission contact information: 'DENALI COMMISSION, 510 'L' Street, Suite 410, Anchorage, Alaska 99501, 907-271-1414 Fax 907-271-1415 Toll Free 888-480-4321, [Contact System Administrator](#)'.

- 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 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	06/01/2007	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 this 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				

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	06/01/2007	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 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	06/01/2007	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			

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 sloe-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 phase 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	06/01/2007	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	06/01/2007	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

[Download the reimbursement request form](#)

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 for the reimbursement request
- Box 9 - Should contain your organization name and address
- Section 11- 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), (c), 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.

Submit the completed form to denalicommissionfinance@denali.gov.

REQUEST FOR ADVANCE OR REIMBURSEMENT <i>(See instructions on back)</i>		OMB APPROVAL NO. 0348-0004		PAGE 1	OF 2 PAGES
		1. TYPE OF PAYMENT REQUESTED a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input checked="" type="checkbox"/> REIMBURSEMENT b. "X" the applicable box <input type="checkbox"/> FINAL <input checked="" type="checkbox"/> PARTIAL		2. BASIS OF REQUEST <input checked="" type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL	
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED Denali Commission		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY 15XX-00		5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST 2	
6. EMPLOYER IDENTIFICATION NUMBER 92-XXXXXX	7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER 012345678	8. PERIOD COVERED BY THIS REQUEST FROM (month, day, year) 07/01/2017		TO (month, day, year) 09/30/2017	
9. RECIPIENT ORGANIZATION Name: City of Anytown Number and Street: P.O. Box 100 City, State and ZIP Code: Anytown, AK 99000		10. PAYEE (Where check is to be sent if different than item 9) Name: Number and Street: City, State and ZIP Code:			

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED				
PROGRAMS/FUNCTIONS/ACTIVITIES ▶	(a)	(b)	(c)	TOTAL
a. Total program outlays to date <i>(As of date)</i> 9/30/2017	\$ 119,471.91	\$	\$	\$ 119,471.91
b. Less: Cumulative program income				0.00
c. Net program outlays (Line a minus line b)	119,471.91			119,471.91
d. Estimated net cash outlays for advance period				0.00
e. Total (Sum of lines c & d)	119,471.91			119,471.91
f. Non-Federal share of amount on line e				0.00
g. Federal share of amount on line e	119,471.91			119,471.91
h. Federal payments previously requested	109,700.00			109,700.00
i. Federal share now requested (Line g minus line h)	9,771.91			9,771.91
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances	1st month			
	2nd month			
	3rd month			

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY	
a. Estimated Federal cash outlays that will be made during period covered by the advance	\$
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested (Line a minus line b)	\$

CERTIFICATION

I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL <i>John Smith</i>	DATE REQUEST SUBMITTED October 28, 2017
	TYPED OR PRINTED NAME AND TITLE John Smith, City Manager	TELEPHONE (AREA CODE, NUMBER, EXTENSION)

This space for agency use

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

<i>Item</i>	<i>Entry</i>	<i>Item</i>	<i>Entry</i>
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.		activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.
4	Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A; then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement.	11a	Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.	11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.	11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
8	Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.	13	Complete the certification before submitting this request.
Note:	The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports.		
11	The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or		

APPENDIX C

PART 900—NATIONAL ENVIRONMENTAL POLICY ACT IMPLEMENTING PROCEDURES

Subpart A—General

- Sec.
900.101 Purpose.
900.102 Environmental policy.
900.103 Terms and abbreviations.
900.104 Federal and intergovernmental relationships.
900.105 Applicant responsibility.
900.106 Denali Commission responsibility.
900.107 Role of lead and cooperating agencies.
900.108 Public involvement.

Subpart B—Environmental Review Procedures

- 900.201 Environmental review process.
900.202 Emergency actions.
900.203 Determination of federal actions.
900.204 Categorical exclusions.
900.205 Environmental assessment.
900.206 Environmental impact statement.
900.207 Programmatic environmental reviews.

Subpart C—Environmental Assessments

- 900.301 Content.
900.302 General considerations in preparing environmental assessments.
900.303 Public involvement.
900.304 Actions resulting from assessment.
900.305 Findings of no significant impact.
900.306 Proposals normally requiring an EA.

Subpart D—Environmental Impact Statements

- 900.401 Notice of intent and scoping.
900.402 Preparation and filing of draft and final EISs.
900.403 Supplemental EIS.
900.404 Adoption.
900.405 Proposals normally requiring an EIS.

APPENDIX A TO PART 900—CATEGORICAL EXCLUSIONS

AUTHORITY: 42 U.S.C. 3121, 4321; 40 CFR parts 1500 through 1508.

SOURCE: 81 FR 53033, Aug. 11, 2016, unless otherwise noted.

Subpart A—General

§ 900.101 Purpose.

This regulation prescribes the policies and procedures of the Denali Commission (Commission) for implementing the National Environmental

Policy Act of 1969 (NEPA) as amended (42 U.S.C. 4321–4347) and the Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of NEPA (40 CFR parts 1500 through 1508). This regulation also addresses other related federal environmental laws, statutes, regulations, and Executive Orders that apply to Commission actions. This part adopts, supplements, and is to be used in conjunction with, 40 CFR parts 1500 through 1508, consistent with 40 CFR 1507.3.

§ 900.102 Environmental policy.

It is the policy of the Commission to:

(a) Comply with the procedures and policies of NEPA and other related environmental laws, regulations, and orders applicable to Commission actions;

(b) Provide guidance to applicants responsible for ensuring that proposals comply with all appropriate Commission requirements;

(c) Integrate NEPA requirements and other planning and environmental review procedures required by law or Commission practice so that all such procedures run concurrently rather than consecutively;

(d) Encourage and facilitate public involvement in Commission decisions that affect the quality of the human environment;

(e) Use the NEPA process to identify and assess reasonable alternatives to proposed Commission actions to avoid or minimize adverse effects upon the quality of the human environment;

(f) Use all practicable means consistent with NEPA and other essential considerations of national policy to restore or enhance the quality of the human environment and avoid, minimize, or otherwise mitigate any possible adverse effects of the Commission's actions upon the quality of the human environment; and

(g) Consider and give important weight to factors including customary and traditional uses of resources, recreation, and the objectives of Federal, regional, State, local and tribal land use plans, policies, and controls for the area concerned in developing proposals and making decisions in order to achieve a proper balance between the development and utilization of natural, cultural and human resources and the

§ 900.103

protection and enhancement of environmental quality (see NEPA section 101 and 40 CFR 1508.14). In particular the Commission will consider potential effects on subsistence activities, which are critically important to the daily existence of Alaska Native villages.

§ 900.103 Terms and abbreviations.

(a) For the purposes of this part, the definitions in the CEQ Regulations, 40 CFR parts 1500 through 1508, are adopted and supplemented as set out in paragraphs (a)(1) through (5) of this section. In the event of a conflict the CEQ Regulations apply.

(1) *Action*. Action and Federal action as defined in 40 CFR 1508.18, include projects, programs, plans, or policies, subject to the Commission's control and responsibility.

(2) *Applicant*. The federal, state, local government or non-governmental partner or organization applying to the Commission for financial assistance or other approval. An applicant may also be a partner organization in receipt of award funds.

(3) *Approving Official*. The Denali Commission staff member designated by the Federal Co-Chair or his/her designee to fulfill the responsibilities defined in § 900.106, including overseeing development of and approval of the NEPA document.

(4) *Commission proposal (or proposal)*. A proposal, as defined at 40 CFR 1508.23, is a Commission proposal whether initiated by the Commission, another federal agency, or an applicant.

(5) *Federal Co-Chair*. One of the seven members of the Commission, appointed by the Secretary of Commerce, as defined in the Denali Commission Act of 1998, 42 U.S.C. 3121, Public Law 105-277.

(b) The following abbreviations are used throughout this part:

- (1) CATEX—Categorical exclusions;
- (2) CEQ—Council on Environmental Quality;
- (3) EA—Environmental assessment;
- (4) EIS—Environmental impact statement;
- (5) FONSI—Finding of no significant impact;
- (6) NEPA—National Environmental Policy Act of 1969, as amended;
- (7) NOI—Notice of intent; and
- (8) ROD—Record of decision.

45 CFR Ch. IX (10-1-16 Edition)

§ 900.104 Federal and intergovernmental relationships.

The Denali Commission was created to deliver the services of the federal government in the most cost-effective manner practicable. In order to reduce administrative and overhead costs, the Commission partners with federal, state and local agencies and Alaska Native villages and commonly depends on these governmental agencies for project management. Consequently, the Commission generally relies on the expertise and processes already in use by partnering agencies to help prepare Commission NEPA analyses and documents.

(a) With federal partners, the Commission will work as either a joint lead agency (40 CFR 1501.5 and 1508.16) or cooperating agency (40 CFR 1501.6 and 1508.5). The Commission may invite other Federal agencies to serve as the lead agency, a joint lead agency, or as a cooperating agency.

(b) Consistent with 40 CFR 1508.5, the Commission will typically invite Alaska Native villages and state and local government partners to serve as cooperating agencies.

(c) Requests for the Commission to serve as a lead agency (40 CFR 1501.5(d)), for CEQ to determine which Federal agency shall be the lead agency (40 CFR 1501.5(e)), or for the Commission to serve as a cooperating agency (40 CFR 1501.6(a)(1)) shall be mailed to the Commission office.

§ 900.105 Applicant responsibility.

(a) Applicants shall work under Commission direction provided by the Approving Official, and assist the Commission in fulfilling its NEPA obligations by preparing NEPA analyses and documents that comply with the provisions of NEPA (42 U.S.C. 4321-4347), the CEQ Regulations (40 CFR parts 1500 through 1508), and the requirements set forth in this part.

(b) Applicants shall follow Commission direction when they assist the Commission with the following responsibilities, among others:

- (1) Prepare and disseminate applicable environmental documentation concurrent with a proposal's engineering, planning, and design;

Denali Commission

§ 900.201

(2) Create and distribute public notices;

(3) Coordinate public hearings and meetings as required;

(4) Submit all environmental documents created pursuant to this part to the Commission for review and approval before public distribution;

(5) Participate in all Commission-conducted hearings or meetings;

(6) Consult with the Commission prior to obtaining the services of an environmental consultant; in the case that an EIS is required, the consultant or contractor will be selected by the Commission; and

(7) Implement mitigation measures included as voluntary commitments by the applicant or as requirements of the applicant in environmental documents.

§ 900.106 Denali Commission responsibility.

(a) The Federal Co-Chair or his/her designee shall designate an Approving Official for each Commission proposal, and shall provide environmental guidance to the Approving Official;

(b) The Approving Official shall provide direction and guidance to the applicant as well as identification and development of required analyses and documentation;

(c) The Approving Official shall make an independent evaluation of the environmental issues, take responsibility for the scope and content of the environmental document (EA or EIS), and make the environmental finding;

(d) The Approving Official shall ensure mitigation measures included in environmental documents are implemented; and

(e) The Approving official shall be responsible for coordinating communications with cooperating agencies and other federal agencies.

§ 900.107 Role of lead and cooperating agencies.

In accordance with § 900.104, the Commission may defer the lead agency role to other federal agencies in accordance with 40 CFR 1501.5, and the Commission will then exercise its role as either a joint lead or a cooperating agency in accordance with 40 CFR 1501.6.

§ 900.108 Public involvement.

(a) When public involvement is required pursuant to subparts C and D of this part, interested persons and the affected public shall be provided notice of the availability of environmental documents, NEPA-related hearings, and public meetings. Such notice will be made on the Commission Web site and other means such that the community is notified (e.g., community postings, newspaper, radio or television).

(b) Applicants shall assist the Commission in providing the opportunity for public participation and considering the public comments on the proposal as described in subparts C and D of this part.

(c) Interested persons can obtain information or status reports on EISs and other elements of the NEPA process from the Commission's office at 510 L Street, Suite 410; Anchorage, Alaska 99501; or on the Commission Web site at <http://www.denali.gov>. Telephone: (907) 271-1414. The Commission will provide hard copies of NEPA documents to governmental and/or tribal entities in the affected communities.

(d) In the interests of national security or the public health, safety, or welfare, the Commission may reduce any time periods that the Commission has established and that are not required by the CEQ Regulations. The Commission shall publish a notice on the Web site at <http://www.denali.gov> and notify interested parties (see 40 CFR 1506.6) specifying the revised time periods for the proposed action and the rationale for the reduction.

Subpart B—Environmental Review Procedures

§ 900.201 Environmental review process.

(a) *General.* The environmental review process is the investigation of potential environmental impacts to determine the environmental process to be followed and to assist in the preparation of the environmental document.

(b) *Early coordination.* Applicants will contact the Commission and work with the Approving Official to begin the environmental review process as soon as

Denali Commission assistance is projected. Environmental issues shall be identified and considered early in the proposal planning process. A systematic, interdisciplinary approach that includes community involvement and intergovernmental coordination to expand the potential sources of information and identify areas of concern will be used. Environmental permits and other forms of approval, concurrence, or consultation may be required. The planning process shall include permitting and other review processes to ensure that necessary information will be collected and provided to permitting and reviewing agencies in a timely manner.

§ 900.202 Emergency actions.

(a) *General.* Emergency circumstances may require immediate actions that preclude following standard NEPA processes. The Council shall limit alternative arrangements to those actions that are necessary to control the immediate impacts of the emergency. In the event of emergency circumstances, the Approving Official should coordinate with the Federal Co-Chair as soon as practicable. Immediate emergency actions necessary to protect the lives and safety of the public or prevent adverse impacts to ecological resources and functions should never be delayed in order to comply with these NEPA procedures. Alternative arrangements for NEPA compliance are permitted for emergency actions pursuant to paragraphs (b) through (d) of this section.

(b) *Categorical exclusion (CATEX).* When emergency circumstances make it necessary to determine whether an extraordinary circumstance would preclude the use of a CATEX, the Approving Official shall make the determination as soon as practicable. If an extraordinary circumstance exists, the Approving Official shall comply with paragraphs (c) and (d) of this section, as applicable.

(c) *Environmental assessment (EA).* When emergency circumstances make it necessary to take an action that requires an EA before the EA can be completed, the Approving Official will consult with the Federal Co-Chair to develop alternative arrangements to

meet the requirements of these NEPA implementing procedures and CEQ Regulations pertaining to EAs. Alternative arrangements should focus on minimizing adverse environmental impacts of the proposed action and the emergency. To the maximum extent practicable, these alternative arrangements should include the content, interagency coordination, and public notification and involvement that would normally be undertaken for an EA for the action at issue and cannot alter the requirements of the CEQ Regulations at 40 CFR 1508.9(a)(1) and (b). The Federal Co-Chair may grant an alternative arrangement. Any alternative arrangement shall be documented. The Federal Co-Chair will inform CEQ of the alternative arrangements at the earliest opportunity.

(d) *Environmental Impact Statement (EIS).* Where emergency circumstances make it necessary to take actions with significant environmental impacts without observing other provisions of these NEPA implementing procedures and the CEQ Regulations (see 40 CFR 1506.11) the Federal Co-Chair may consult with CEQ about alternative arrangements for implementation of NEPA. In these situations, the Commission may reduce processing times or, if the emergency situation warrants, abbreviate its preparation and processing of EISs. Any request for alternative arrangements must be submitted by the Federal Co-Chair to CEQ and notice of a potential request should be provided to CEQ at the earliest opportunity. For projects undertaken by an applicant, the Approving Official will inform the Federal Co-Chair about the emergency. The Federal Co-Chair will consult CEQ requesting the alternative arrangements for complying with NEPA.

§ 900.203 Determination of federal actions.

(a) The Commission shall determine whether any Commission proposal:

- (1) Is categorically excluded from preparation of either an EA or an EIS;
- (2) Requires preparation of an EA; or
- (3) Requires preparation of an EIS.

(b) Notwithstanding any other provision of this part, the Commission may prepare a NEPA document to assist

any Commission action at any time in order to further the purposes of NEPA. This NEPA document may be done to analyze the consequences of ongoing Commission activities, to support Commission planning, to assess the need for mitigation, to disclose fully the potential environmental consequences of Commission actions, or for any other reason. Documents prepared under this paragraph shall be prepared in the same manner as Commission documents prepared under this part.

§ 900.204 Categorical exclusions.

(a) *General.* A categorical exclusion (CATEX) is defined in 40 CFR 1508.4 as a category of actions which do not individually or cumulatively have a significant effect on the human environment and, for which in the absence of extraordinary circumstances or sensitive resources, neither an EA nor an EIS is required. Actions that meet the conditions in paragraph (b) of this section and are listed in section A of appendix A of this part can be categorically excluded from further analysis and documentation in an EA or EIS. Actions that meet the screening conditions in paragraph (b) of this section and are listed in section B of appendix A require satisfactory completion of a Denali Commission CATEX checklist in order to be categorically excluded from further analysis and documentation in an EA or EIS.

(b) *Conditions.* The following three conditions must be met for an action to be categorically excluded from further analysis in an EA or EIS.

(1) The action has not been segmented (too narrowly defined or broken down into small parts in order to minimize its potential effects and avoid a higher level of NEPA review) and its scope includes the consideration of connected actions and, when evaluating extraordinary circumstances, cumulative impacts.

(2) No extraordinary circumstances described in paragraph (c) of this section exist, unless resolved through other regulatory means.

(3) One categorical exclusion described in either section of appendix A of this part encompasses the proposed action.

(c) *Extraordinary circumstances.* Any action that normally would be classified as a CATEX but could involve extraordinary circumstances will require appropriate environmental review documented in a Denali Commission CATEX checklist to determine if the CATEX classification is proper or if an EA or EIS should be prepared. Extraordinary circumstances to be considered include those likely to:

(1) Have a reasonable likelihood of significant impacts on public health, public safety, or the environment;

(2) Have effects on the environment that are likely to be highly controversial or involve unresolved conflicts concerning alternative uses of available resources;

(3) Have possible effects on the human environment that are highly uncertain, involve unique or unknown risks, or are scientifically controversial;

(4) Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects;

(5) Relate to other actions with individually insignificant but cumulatively significant environmental effects;

(6) Have a greater scope or size than is normal for the category of action;

(7) Have the potential to degrade already existing poor environmental conditions or to initiate a degrading influence, activity, or effect in areas not already significantly modified from their natural condition;

(8) Have a disproportionately high and adverse effect on low income or minority populations (see Executive Order 12898);

(9) Limit access to and ceremonial use of Indian sacred sites on federal lands by Indian religious practitioners or adversely affect the physical integrity of such sacred sites (see Executive Order 13007);

(10) Threaten a violation of a federal, tribal, state or local law or requirement imposed for the protection of the environment;

(11) Have a reasonable likelihood of significant impact to subsistence activities; or

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(12) Have a reasonable likelihood of significant impacts on environmentally sensitive resources, such as:

(i) Properties listed, or eligible for listing, in the National Register of Historic Places;

(ii) Species listed, or proposed to be listed, on the List of Endangered or Threatened Species, or their habitat; or

(iii) Natural resources and unique geographic characteristics such as historic or cultural resources; park, recreation or refuge lands; wilderness areas; wild or scenic rivers; national natural landmarks; sole or principal drinking water aquifers; prime farmlands; special aquatic sites (defined under Section 404 of the Clean Water Act); floodplains; national monuments; and other ecologically significant or critical areas.

§ 900.205 Environmental assessment.

(a) An EA is required for all proposals, except those exempt from NEPA or categorically excluded under this part, and those requiring or determined to require an EIS. EAs provide sufficient evidence and analysis to determine whether to prepare an EIS or a finding of no significant impact (FONSI).

(b) In addition, an EA may be prepared on any action at any time in order to assist in planning and decision making, to aid in the Commission's compliance with NEPA when no EIS is necessary, or to facilitate EIS preparation.

(c) EAs shall be prepared in accordance with subpart C of this part and shall contain analyses to support conclusions regarding environmental impacts. If a FONSI is proposed, it shall be prepared in accordance with § 900.305.

§ 900.206 Environmental impact statement.

An EIS is required when the project is determined to have a potentially significant impact on the human environment. EISs shall be prepared in accordance with subpart D of this part.

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§ 900.207 Programmatic environmental reviews.

(a) A programmatic NEPA review is used to assess the environmental impacts of a proposed action that is broad in reach, such as a program, plan, or policy (see 40 CFR 1502.4). Analyses of subsequent actions that fall within the program, plan, or policy may be tiered to the programmatic review, as described in 40 CFR 1502.20 and 1508.28.

(b) Programmatic NEPA reviews may take the form of a programmatic EA or a programmatic EIS.

(c) A programmatic EA shall meet all of the requirements for EAs in subpart C of this part, including those for content and public involvement. In order to adopt a programmatic EA prepared by another agency that did not provide the same public involvement opportunities as the Commission, the Commission shall provide notice of the availability of the programmatic EA and make it available for public comment consistent with § 900.303(b) and (c) before adopting it.

(d) A programmatic EIS shall meet all of the requirements for EISs in subpart D of this part and in 40 CFR parts 1500 through 1508.

Subpart C—Environmental Assessments

§ 900.301 Content.

(a) An EA shall include brief discussions of the need for the proposal; of alternatives to the proposal as required by NEPA section 102(2)(E); and of the environmental impacts of the proposal and alternatives. The EA shall also include a listing of agencies and persons consulted in the preparation of the EA.

(b) An EA may describe a broad range of alternatives and proposed mitigation measures to facilitate planning and decisionmaking.

(c) The EA should also document compliance, to the extent possible, with all applicable environmental laws and Executive Orders, or provide reasonable assurance that those requirements can be met.

(d) The EA should be a concise public document. The level of detail and depth of impact analysis will normally be limited to the minimum needed to

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determine the significance of potential environmental effects.

§ 900.302 General considerations in preparing environmental assessments.

(a) *Adoption of an EA.* The Commission may adopt an EA prepared for a proposal before the Commission by another agency or an applicant when the EA, or a portion thereof, addresses the proposed Commission action and meets the standards for an adequate analysis under this part and relevant provisions of 40 CFR parts 1500 through 1508, provided that the Commission makes its own evaluation of the environmental issues and takes responsibility for the scope and content of the EA in accordance with 40 CFR 1506.5(b).

(b) *Incorporation by reference into the EA.* Any document may be incorporated by reference in accordance with 40 CFR 1502.21 and used in preparing an EA in accordance with 40 CFR 1501.4(e) and 1506.5(a), provided that the Commission makes its own evaluation of the environmental issues and takes responsibility for the scope and content of the EA in accordance with 40 CFR 1506.5(b).

§ 900.303 Public involvement.

(a) Commission approval is required before an EA is made available to the public and the notice of availability is published.

(b) The public shall be provided notice of the availability of EAs and draft FONSI in accordance with 40 CFR 1506.6 and § 900.108(a) by the Approving Official. The Approving Official is responsible for making the EA available for public inspection and will provide hard copies on request to the affected units of Alaska Native/American Indian tribal organizations and/or local government.

(c) EAs and draft FONSI will be available for public comment for not less than 15 calendar days but may be published for a longer period of time as determined by the Approving Official.

(d) Final Commission action will be taken after public comments received on an EA and draft FONSI are reviewed and considered.

§ 900.304 Actions resulting from assessment.

(a) *Accepted without modification.* The Commission may accept a proposal without modifications if the EA indicates that the proposal does not have significant environmental impacts and a FONSI is prepared in accordance with § 900.305.

(b) *Accepted with modification.* If an EA identifies potentially significant environmental impacts, the proposal may be modified to eliminate such impacts. Proposals so modified may be accepted by the Commission if the proposed changes are evaluated in an EA and a FONSI is prepared in accordance with § 900.305.

(c) *Mitigated FONSI.* If mitigation is required to reduce the impacts below significant the FONSI shall identify the mitigation and describe applicable monitoring and enforcement measures intended to ensure the implementation of the mitigation measures.

(d) *Prepare an EIS.* The Commission shall require that the proposal be evaluated in an EIS, prepared in accordance with subpart D to this part, if the EA indicates significant environmental impacts that cannot be mitigated below a specified level of significance.

(e) *Rejected.* The Commission may always elect to reject a proposal.

§ 900.305 Findings of no significant impact.

(a) *Definition.* Finding of no significant impact (FONSI) means a document by the Commission briefly presenting the reasons why an action, not otherwise excluded as provided in § 900.204, will not have a significant impact on the human environment and for which an EIS will not be prepared.

(b) *Applicant responsibility.* The applicant shall assist the Commission with preparing the EA. The Commission remains responsible for compiling the public hearing summary or minutes, where applicable; and copies of any written comments received and responses thereto.

(c) *Content.* A FONSI shall include the EA or a summary of it and shall note any other environmental documents related to it (40 CFR 1501.7(a)(5)).

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If the assessment is included, the finding need not repeat any of the discussion in the assessment but may incorporate it by reference.

(d) *Publication.* The Commission shall make the final FONSI available to the public on the Commission Web site.

(e) *Special circumstances.* The FONSI notice of availability will be made available for public review (including State and areawide clearinghouses) for 30 days before the Commission makes its final determination whether to prepare an environmental impact statement and before the action may begin (40 CFR 1501.4(e)(2)) where:

(1) The proposed action is, or is closely similar to, one which normally requires the preparation of an environmental impact statement under § 900.405; or

(2) The nature of the proposed action is one without precedent.

§ 900.306 Proposals normally requiring an EA.

Proposals that normally require preparation of an EA include the following:

(a) Initial field demonstration of a new technology; and

(b) Field trials of a new product or new uses of an existing technology.

Subpart D—Environmental Impact Statements

§ 900.401 Notice of intent and scoping.

(a) The Commission shall publish a NOI, as described in 40 CFR 1508.22, in the FEDERAL REGISTER as soon as practicable after a decision is made to prepare an EIS, in accordance with 40 CFR 1501.7. If there will be a lengthy period of time between the Commission's decision to prepare an EIS and its actual preparation, the Commission may defer publication of the NOI until a reasonable time before preparing the EIS, provided that the Commission allows a reasonable opportunity for interested parties to participate in the EIS process. Consistent with § 900.201(b), the Commission and the applicant will coordinate during the time period prior to the publication of the NOI to identify: the scope of the action, potential modifications to the proposal, potential alternatives, environmental con-

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straints, potential timeframes for the environmental review, and federal, state, or tribal entities that could be interested in the project, including those with the potential to become cooperating agencies. Through the NOI, the Commission shall invite comments and suggestions on the scope of the EIS.

(b) Publication of the NOI in the FEDERAL REGISTER shall begin the public scoping process. The public scoping process for a Commission EIS shall allow a minimum of 30 days for the receipt of public comments.

§ 900.402 Preparation and filing of draft and final EISs.

(a) *General.* Except for proposals for legislation as provided for in 40 CFR 1506.8, EISs shall be prepared in two stages and may be supplemented.

(b) *Format.* The EIS format recommended by 40 CFR 1502.10 shall be used unless a determination is made on a particular project that there is a compelling reason to do otherwise. In such a case, the EIS format must meet the minimum requirements prescribed in 40 CFR 1502.10, as further described in 40 CFR 1502.11 through 1502.18.

(c) *Applicant role.* The draft or final EIS shall be prepared by the Commission with assistance from the applicant under appropriate guidance and direction from the Approving Official.

(d) *Third-party consultants.* A third-party consultant selected by the Commission or in cooperation with a cooperating agency may prepare the draft or final EIS.

(e) *Commission responsibility.* The Commission shall provide a schedule with time limits, guidance, participate in the preparation, independently evaluate, and take responsibility for the content of the draft and final EIS.

(f) *Filing.* After a draft or final EIS has been prepared, the Commission shall file the EIS with the Environmental Protection Agency (EPA). The EPA will publish a notice of availability in accordance with 40 CFR 1506.9 and 1506.10.

(g) *Draft to final EIS.* When a final EIS does not require substantial changes from the draft EIS, the Commission may document required changes in errata sheets, insertion

pages, and revised sections. The Commission will then circulate such changes together with comments on the draft EIS, responses to comments, and other appropriate information as its final EIS. The Commission will not circulate the draft EIS again; however, the Commission will post the EIS on its Web site and provide the draft EIS if requested.

(h) *Record of decision.* A record of decision (ROD) will be prepared in accordance with 40 CFR 1505.2.

§ 900.403 Supplemental EIS.

(a) Supplements to either draft or final EISs shall be prepared, as prescribed in 40 CFR 1502.9, when the Commission finds that there are substantial changes are proposed in a project that are relevant to environmental concerns; or when there are significant new circumstances or information relevant to environmental concerns and bearing on the proposed action or its impacts.

(b) Where Commission action remains to be taken and the EIS is more than three years old, the Commission will review the EIS to determine whether it is adequate or requires supplementation.

(c) The Commission shall prepare, circulate and file a supplement to an EIS in the same fashion (exclusive of scoping) as a draft and final EIS. In addition, the supplement and accompanying administrative record shall be included in the administrative record for the proposal. When an applicant is involved, the applicant shall, under the direction of the approving official, provide assistance.

(d) An NOI to prepare a supplement to a final EIS will be published in those cases where a ROD has already been issued.

§ 900.404 Adoption.

(a) The Commission may adopt a draft or final EIS or portion thereof (see 40 CFR 1506.3), including a programmatic EIS, prepared by another agency.

(b) If the actions covered by the original EIS and the proposal are substantially the same, the Commission shall recirculate it as a final statement. Otherwise, the Commission shall

treat the statement as a draft and recirculate it except as provided in paragraph (c) of this section.

(c) Where the Commission is a cooperating agency, it may adopt the EIS of the lead agency without recirculating it when, after an independent review of the EIS, the Commission concludes that its comments and suggestions have been satisfied.

(d) When the Commission adopts an EIS which is not final within the agency that prepared it, or when the action it assesses is the subject of a referral under 40 CFR part 1504, or when the EIS's adequacy is the subject of a judicial action which is not final, the Commission shall so specify.

§ 900.405 Proposals normally requiring an EIS.

An EIS will normally be required for:

(a) Large scale infrastructure construction efforts such as the relocation of an entire community;

(b) A project that requires a formal consultation under Section 7 of the Endangered Species Act; or

(c) Where implementation of the proposal may directly cause or induce changes that significantly:

(1) Displace population;

(2) Alter the character of existing residential areas; or

(3) Adversely affect a floodplain.

APPENDIX A TO PART 900—CATEGORICAL EXCLUSIONS

A. General Categorical Exclusions

Actions consistent with any of the following categories are, in the absence of extraordinary circumstances, categorically excluded from further analysis in an EA or EIS:

A1. Routine administrative and management activities including, but not limited to, those activities related to budgeting, finance, personnel actions, procurement activities, compliance with applicable executive orders and procedures for sustainable or "greened" procurement, retaining legal counsel, public affairs activities (e.g., issuing press releases, newsletters and notices of funding availability), internal and external program evaluation and monitoring (e.g., site visits), database development and maintenance, and computer systems administration.

A2. Routine activities that the Commission does to support its program partners and stakeholders, such as serving on task

forces, ad hoc committees or representing Commission interests in other forums.

A3. Approving and issuing grants for administrative overhead support.

A4. Approving and issuing grants for social services, education and training programs, including but not limited to support for Head Start, senior citizen programs, drug treatment programs, and funding internships, except for projects involving construction, renovation, or changes in land use.

A5. Approving and issuing grants for facility planning and design.

A6. Nondestructive data collection, inventory, study, research, and monitoring activities (e.g., field, aerial and satellite surveying and mapping).

A7. Research, planning grants and technical assistance projects that are not reasonably expected to commit the federal government to a course of action, to result in legislative proposals, or to result in direct development.

A8. Acquisition and installation of equipment including, but not limited to, EMS, emergency and non-expendable medical equipment (e.g., digital imaging devices and dental equipment), and communications equipment (e.g., computer upgrades).

B. Program Categorical Exclusions

Actions consistent with any of the following categories are, in the absence of extraordinary circumstances, categorically excluded from further analysis and documentation in an EA or EIS upon completion of the Denali Commission CATEX checklist:

B1. Upgrade, repair, maintenance, replacement, or minor renovations and additions to buildings, roads, harbors and other maritime facilities, grounds, equipment, and other facilities, including but not limited to, roof replacement, foundation repair, ADA access ramp and door improvements, weatheriza-

tion and energy efficiency related improvements, HVAC renovations, painting, floor system replacement, repaving parking lots and ground maintenance, that do not result in a change in the functional use of the real property.

B2. Engineering studies and investigations that do not permanently change the environment.

B3. Construction or lease of new infrastructure including, but not limited to, health care facilities, community buildings, housing, and bulk fuel storage and power generation plants, where such lease or construction:

(a) Is at the site of existing infrastructure and capacity is not substantially increased; or

(b) Is for infrastructure of less than 12,000 square feet of useable space when less than two acres of surface land area are involved at a new site.

B4. Construction or modification of electric power stations or interconnection facilities (including, but not limited to, switching stations and support facilities).

B5. Construction of electric powerlines approximately ten miles in length or less, or approximately 20 miles in length or less within previously disturbed or developed powerline or pipeline rights-of-way.

B6. Upgrading or rebuilding approximately twenty miles in length or less of existing electric powerlines, which may involve minor relocations of small segments or the powerlines.

B7. Demolition, disposal, or improvements involving buildings or structures when done in accordance with applicable regulations, including those regulations applying to removal of asbestos, polychlorinated biphenyls (PCBs), and other hazardous materials.

PARTS 901—999 [RESERVED]



CATEX CHECKLIST

CHECKLIST OF EXTRAORDINARY CIRCUMSTANCES & SENSITIVE RESOURCES IN SUPPORT OF A CATEGORICAL EXCLUSION (CATEX) DETERMINATION FOR A DENALI COMMISSION PROJECT

Program Partner Name		Project Name	
Location		Project #	Subproject #
Identify Categorical Exclusion The proposed project is identified in the Denali Commission list of categorical exclusions in 45 CFR Appendix A to Part 900, paragraph(s)			
Project Description (2-3 sentences maximum)			
Instructions The information you provide below will assist the Denali Commission in making its determination as to whether a Categorical Exclusion (CATEX) is appropriate or further environmental analysis is required for the proposed project. Please place a checkmark in the blank next to the numbered items indicating your response on that issue. A checkmark in the "Yes" block does not automatically preclude the development of the proposed project. It simply means further assessment is needed. Should you have any remarks that may indicate the need to prepare an Environmental Analysis (EA) or an Environmental Impact Statement (EIS), attach a brief explanation of the circumstances for further evaluation. Adverse affects to environmentally sensitive resources must be resolved through another environmental process, e.g., coordination or consultation under the Coastal Zone Management Act or National Historic Preservation Act, before being categorically excluded. Attachments are allowed and encouraged.			

Extraordinary Circumstances	Determination		Basis for determination
	Yes	No	
1. Public Health, Safety or Environment Will the proposed project have a reasonably likelihood of significant impacts on public health, public safety, or the environment?	<input type="checkbox"/>	<input type="checkbox"/>	
2. Controversy on Environmental Grounds Will the proposed project have effects on the environment that are likely to be highly controversial or involve unresolved conflicts concerning alternative uses of available resources?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Uncertain, Unique or Unknown Risks Will the proposed project have possible effects on the human environment that are highly uncertain, involve unique or unknown risks, or are scientifically controversial?	<input type="checkbox"/>	<input type="checkbox"/>	
4. Precedent for Future Action Will the proposed action establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects?	<input type="checkbox"/>	<input type="checkbox"/>	
5. Cumulative Impacts Will the proposed project relate to other actions with individually insignificant but cumulatively significant environmental effects?	<input type="checkbox"/>	<input type="checkbox"/>	

6. Scope and Size Will the proposed project have a greater size and scope than is normal for the category of action?	<input type="checkbox"/>	<input type="checkbox"/>	
7. Environmental Conditions Will the proposed project have the potential to degrade already existing poor environmental conditions or to initiate a degrading influence, activity or effect in areas not already significantly modified from their natural condition?	<input type="checkbox"/>	<input type="checkbox"/>	
8. Environmental Justice Will the proposed project have a disproportionately high and adverse effect on low income or minority populations? Ref: Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations	<input type="checkbox"/>	<input type="checkbox"/>	
9. Indian Sacred Sites Will the proposed project limit access to or ceremonial use of Indian sacred sites by Indian religious practitioners or adversely affect the physical integrity of such sacred sites? (EO 13007) <i>“Indian tribe” means an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law No. 103-454, 108 Stat. 4791, and “Indian” refers to a member of such an Indian tribe. (EO 13007)</i> Ref: Executive Order 13007, Indian Sacred Sites	<input type="checkbox"/>	<input type="checkbox"/>	
Sensitive Resources	Impact Potential Yes No		Basis for determination
10. Section 106 Historic Properties Will the proposed project adversely affect properties in, or eligible for inclusion in, the National Register of Historic Places? Ref: National Historic Preservation Act of 1966 (16 U.S.C. 470 et seq.), as amended. (See 36 CFR 800, Protection of Historic Properties).	<input type="checkbox"/>	<input type="checkbox"/>	
11. Endangered Species Will the proposed project adversely affect species listed, or proposed to be listed on the Endangered or Threatened Species List, or the specific critical habitat? Ref: Endangered Species Act of 1973 (16 U.S.C. 1531 et seq.), as amended. (See 50 CFR part 402).	<input type="checkbox"/>	<input type="checkbox"/>	
12. Historic or Cultural Resources Will the proposed action adversely impact the historic and cultural environment of the Nation? Ref: Executive Order 11593, Protection and enhancement of the cultural environment.	<input type="checkbox"/>	<input type="checkbox"/>	
13. Park, Recreation or Refuge Lands Will the proposed project have significant adverse direct or indirect effects on National or State Park, Recreation or Refuge lands?	<input type="checkbox"/>	<input type="checkbox"/>	

<p>14. Wilderness Areas</p> <p>Will the proposed project adversely impact a wilderness area?</p> <p>Ref: Wilderness Act of 1964 (16 U.S.C. 1131 et seq.), as amended.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>15. Wild and Scenic Rivers</p> <p>Is the proposed project a “Water Resources Project” that will impact a wild, scenic or recreational river area and create conditions inconsistent with the character of the river?</p> <p>Ref: Wild & Scenic Rivers Act (16 U.S.C. 1271 et seq.), as amended.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>16. National Natural Landmarks</p> <p>Will the proposed project impact a National Natural Landmark?</p> <p>Ref: Historic Sites Act of 1935 (16 U.S.C. 461 et seq.), as amended.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>17. Sole Source Aquifers</p> <p>If the proposed action would not have adverse effects on this resource, it may be considered that there is no Impact Potential.</p> <p>Ref: Safe Drinking Water Act of 1974, (42 U.S.C. 201, 300 et seq., and 21 U.S.C. 349), as amended. (See 40 CFR part 149).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p>According to the EPA website, as of 08/05/04, there are no sole source aquifers in Alaska.</p>
<p>18. Prime Farmlands</p> <p>Will the proposed project convert significant agricultural lands to non-agricultural uses?</p> <p>Ref: Farmlands Protection Policy Act of 1981 (7 U.S.C. 4201 et seq.), as amended. (See 7 CFR part 658).</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>19. Wetlands</p> <p>Will the proposed project adversely affect wetlands or will there be construction in wetlands, except in conformance with a U.S. Corps of Engineers Section 404 Permit?</p> <p>Ref: Executive Order 11990, Protection of Wetlands</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>20. Floodplains</p> <p>Will the proposed project involve construction in a floodplain or impact floodplain development?</p> <p>Ref: Executive Order 11988, Floodplain Management</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>21. National Monuments</p> <p>Will proposed project impact a National Monument?</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>22. Ecologically Significant or Critical Areas</p> <p>Will the proposed project impact an ecologically significant or critical area?</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>23. Other Known Reasons</p> <p>Is an environmental assessment required for other known reasons?</p>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional Comments		
PREPARED BY		
Date	Typed or Printed Name and Title	Signature
Organization:		
DENALI COMMISSION APPROVING OFFICIAL		
Based upon the categorical exclusion identified above, this completed checklist and attachments, I certify to the best of my knowledge, that the information provided above is complete and correct, and that:		
A categorical exclusion determination is appropriate for this project		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Further environmental analysis is required		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Date	John Whittington Designated Approving Official	Signature

Additional Notes and Instructions

1. The basis for determination and documentation information must be traceable and establish the factual data to support the response to each question. Types of information to be included in this column are outlined below.

Printed Materials: These are useful sources of detailed information materials such as comprehensive land use plans, zoning maps, city master plans, environmental baseline surveys, environmental assessments, environmental impact statements and studies. Information must be current and must represent accepted methodologies, i.e., not so old that changing conditions make them irrelevant. Citations for the material should include enough information so that an outside reviewer can locate the specific reference, e.g., author, document title, publication date, and page number.

Examples include the Record of Decision, Finding of Suitability to Transfer, Finding of Suitability to Lease, General Services Administration (GSA) Property Suitability Determination Form, Federal Property Information Checklist, Environmental Baseline Surveys, Preliminary Assessment Reports, Environmental Assessments, draft or final Environmental Impact Statements, and City/County master plan or zoning map.

Possible sources of the above documents include as appropriate, GSA, Department of Housing and Urban Development, the property owner, military base environmental office, local governmental organizations, local public library, and City/County planning office.

Personal Contacts: Personal contacts are useful when the individual contacted is an accepted authority on the subject(s), and the interview is documented. Supporting documentation should include the name, organization, and title of the person contacted and the date of the conversation. Examples include EPA officials, EPA hotlines, officials from state or local planning offices and environmental offices, or an environmental officer of an agency.

Site Visits: A site visit does not usually involve any testing or measurements. A site visit is an important method for initial screening of the issues, but for some of the categories it may be inadequate for final evaluation. Supporting documentation should include date of the site visit, by whom, and the supporting observation.

2. The agency must include pollution prevention considerations in the siting, design, construction, renovation, and operation of the project or facility. The questionnaire items on sedimentation and erosion control measures and storm water control plan are also pollution prevention related.