



MONTANA OFFICE OF TOURISM AND BUSINESS DEVELOPMENT DIVISION

## INDIAN COUNTRY ECONOMIC DEVELOPMENT (ICED) PROGRAM

### 2017 APPLICATION GUIDELINES FOR:

#### INDIAN EQUITY FUND (IEF) SMALL BUSINESS GRANTS

(Local Priority- August 1, 2016- September 30, 2016)

(At-Large- August 1, 2016- October 31, 2016)

#### TRIBAL BUSINESS PLANNING GRANTS

(July 1, 2016- September 30, 2016)

### UPDATED GUIDANCE FOR:

#### NATIVE AMERICAN BUSINESS ADVISOR (NABA) PROGRAM

(September 2015-June 2017)

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# I. ABOUT THE PROGRAM

The Indian Country Economic Development (ICED) program, created by the 59<sup>th</sup> Montana State Legislature, is a State-funded program administered by the Montana Department of Commerce. Since October 2005, the State Legislature has made a biennial appropriation of One-Time-Only (OTO) grant funds to be made available to Montana’s tribal nations and tribal businesses for business development activities. In the 64<sup>th</sup> legislative session, funding for the ICED program was approved as part of House Bill 2, and signed into law by Governor Bullock in May 2015.

Adjustments to the ICED Program grant funds have been made based on a review of the best practices and historical performance of Tribal Priority (now Tribal Business Planning Grant), Montana Indian Equity Fund, and Indian Entrepreneur (now Native American Business Advisors or NABA) grant projects funded by the ICED Program. Analysis of tribal community priorities from the Main Street Montana Project and feedback from elected officials also shaped how the ICED Program grant funds are deployed and utilized. Clear objectives for the ICED Program are critical to produce quantifiable impact to tribal communities and tribal economies and to produce a narrative that compels future investment into the ICED family of programs. The family of programs funded under the ICED program (Tribal Business Planning Grant, Indian Equity Fund (IEF) Small Business Grant, and Native American Business Advisors (NABA) allow the Indian Country Programs of the Department of Commerce to articulate measurable successes of the program to tribal communities, the administration, and to the elected leadership.

Following is a chart of activities and deadlines through fiscal year 2017 for ICED funded programs:

ENTITY	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN
<b>TRIBAL BUSINESS PLANNING GRANT</b>	Tribal business planning grant application period			Grant Review	Awards & contracting				Midterm Report			Final Report
<b>NABA ACTIVITIES &amp; TRAINING</b>	NABA contract amendmt & training	NABA IEF application assistance 8/1 to 10/31				AASBC Testing & Certification by 12/31/16	Midterm Report					Final Report/ Strategic Recap mtg.
			NABA assistance to unsuccessful Round 1 apps 10/14 - 10/31									
<b>IEF LOCAL PRIORITY GRANT (ROUND 1)</b>		Round 1 Local Priority applications due 9/30/16	Unsuccessful Round 1 apps can make improvements through 10/31/16 for Round 2			Awards & Contracting						
<b>IEF AT-LARGE GRANT (ROUND 2)</b>		Round 2 At-Large applications due 10/31/16				Awards & Contracting						
<b>LOCAL REVIEW COMMITTEE</b>				Round 1 review 10/4-10/13								
<b>STATE REVIEW COMMITTEE</b>				Round 1 review 10/17-10/31	Round 2 review 11/1-11/15							

## II. INDIAN EQUITY FUND SMALL BUSINESS GRANTS

### A. SUMMARY

The Indian Equity Fund Small Business Grant is a grant to assist a start-up or expanding Native American business in Montana. This money can be used for a variety of activities such as the purchase of new equipment or the development of a new product line. A total of \$320,000 is available to fund Native American business applications in Montana.

### B. ELIGIBLE APPLICANTS

The funds are available to enrolled members of Montana's federally recognized tribes in Montana and to enrolled members of the Little Shell Tribe residing in Montana. All applications must include documentation of tribal enrollment in the form of a Certified Indian Blood (CIB) Form or tribal ID. An application will be considered incomplete without this information.

Local Priority Applicants (Round 1 Funding): Through September 30, 2016 priority will be given to applicants residing on or near the reservation in which they enrolled or to members of the Little Shell Tribe of Chippewa. If a Local Priority applicant misses the September 30, 2016 deadline, their application will be considered in the At-Large pool of applications due October 31, 2016.

At-Large Applicants (Round 2 Funding): Funds not fully subscribed to Local Priority applications are available to At-Large applicants with a submission deadline of October 31, 2016. At-Large applicants are enrolled members of federally recognized tribes in Montana and enrolled Little Shell tribal members operating businesses and living in areas of the state other than on the reservation in which they enrolled.

### C. INELGIBLE APPLICANTS

Any applicant or business in Montana that is debarred, suspended, proposed for debarment, or declared as ineligible to receive State of Montana funds is ineligible to receive these grant funds.

Additionally, any applicant under a garnishment order at the time of application from the Montana Department of Revenue for monies owed to the State of Montana is an ineligible recipient of funds. Examples of garnishment include taxes owed to the State, child support payments that are past due and funds owed the university system.

### D. FUNDING AVAILABILITY

Applications will be accepted on an open cycle basis beginning August 1, 2016 and will remain open until October 31, 2016.

Applicants can request a maximum of \$14,000 and must demonstrate a reasonable justification for the use of funds. (Please round request to the nearest \$100 increment.) Award amounts are at the discretion of the Local and State Review Committees. Applicants are encouraged to only apply for what they need so that grant dollars can be distributed across as many businesses as possible.

## E. ELIGIBLE ACTIVITIES

Funds can be used for a variety of business activities usually funded by a commercial lender. These activities may include but are not limited to:

- Purchase of land, building and equipment.
- Purchase of assets including furnishings, equipment and technology.
- Selected use of working capital for business operations. A very strong case must be made to utilize funds for working capital.

Existing business owners must show how the funding will support growth in their business either through the development of a new product or service with the existing business strategy.

## F. INELIGIBLE ACTIVITIES

The following activity will not be funded:

- Reimbursement for activities completed prior to application.
- Reimbursement for activities not related to business start-up or expansion
- Duplicative reimbursement for activities receiving funding for the same services, equipment, or improvements through any other local, state, or federal grant or funding program, except as necessary to fully fund the project.

## G. Match Requirement

The requested grant funds require a minimum of dollar to dollar cash or in-kind match (\$1:\$1) and must be firmly committed and documented in the application. Documentation of match will be required prior to the release of funds. Cash match may include collateral such as cash or loan proceeds from a tribal loan fund, a micro loan program, or a commercial lender. In-kind match may include inventory, supplies, equipment, tools or vehicles that are part of the activity of the business.

## H. How to Apply

Individuals can submit applications on their own or utilize a Native American Business Advisor (NABA) to assist them with their application. Applications must be completed online through the Submittable™ application platform located at <http://indiancountry.mt.gov>. First time applicants will be required to create a Submittable™

profile which requires a valid email account. Applications for state's fiscal year 2017 funds (July 1, 2016- June 30, 2017) will be accepted beginning August 1, 2016.

Applications considered incomplete or ineligible can be re-opened for editing and negotiated from the Program back to the applicant through Submittable™. Applicants are encouraged to apply early so that they can make any necessary adjustments or changes before the deadline to make their application competitive. Local Priority applications that are submitted on the deadline (September 30, 2016) will not have the opportunity to make any additional changes and remain competitive in the Local Priority group. However, unsuccessful Local Priority applicants will have a small window of time after local reviews and rankings to make any improvements to their applications. Resubmitted Local Priority applications are due by October 31, 2016 and will be re-reviewed in the At-Large group.

NABAs are available on each reservation and to Little Shell tribal members to assist in application preparation and are trained in the Submittable™ online application submission process. It is essential that business owners understand their business. The assistance includes business counseling and assistance with the various aspects of the application such as marketing and development of cash flows and financial information. A list of NABA organizations is located at <http://indiancountry.mt.gov>. Additionally, the Small Business Development Centers (SBDC) Network is located throughout the state and can provide business counseling services. A map of SBDC host organizations is located at <http://sbdc.mt.gov/About/Locations>.

Receipt of an application does not imply a commitment for funding from the Montana Department of Commerce (MDOC). Applications will be reviewed for eligibility and suitability with state and program requirements. Applications will be reviewed by a Local Review Committee where possible and a State Review Committee.

## I. APPLICATION REVIEW PROCESS

1. **RECEIPT OF APPLICATION-** Once submitted each application is assessed for completeness and clarity by the Program. Applications that are incomplete or lack clarity can be opened for editing to the applicant if submitted prior to the deadline. As needed, the Program will provide the NABA contact information in the applicant's community as a resource. The Program coordinates the application review and ranking timeline at the local and state levels.
2. **LOCAL REVIEW COMMITTEE-** Each of the eight tribal nations can establish a Local Review Committee to review, rank and recommend applications to the State Review Committee for consideration of funding. Annually, the Program submits a list of recommended Local Review Committee members to the State Tribal Economic Development (STED) Commission member for formal recommendation and approval. Local Review Committees are responsible for providing constructive

application feedback to the applicants. The Local Review Committees may be comprised of the following volunteers:

- Local business leaders,
  - Business development organizations,
  - Commercial Lenders in each of the communities , and
  - A STED Commission member or his/her designee.
3. **STATE REVIEW COMMITTEE-** A final review will be made by the State Review Committee comprised of members at the State level that work on Native American economic development issues. The State Review Committee reviews the recommended applications for eligibility under state contracting policy and application criteria requirements. After conferring with the Local Review Committee, the State Review Committee makes funding recommendations to the Montana Department of Commerce Director who makes the final funding decision.

## J. APPLICATION REVIEW CRITERIA

The following criteria will be used to evaluate the proposals for potential funding:

1. **APPLICATION QUALITY-** Is the application complete, clear and logical, proofread for spelling, and/or mathematical errors?
2. **APPLICANT BUSINESS EXPERIENCE-** Does the applicant have experience in the business that is proposed in the application? If the applicant doesn't have experience, has the applicant demonstrated in the application that they have the capacity to endure a business start-up and make sustainable business decisions?
3. **FINANCIAL PROJECTIONS-** Are the financial projections convincing and understandable? Is the growth rate of the business representative of realistic market demand and business capacity? For established businesses, have the most current financials been provided and explained?
4. **OPERATIONS-** Are the operational aspects (partners, suppliers, production costs, key resources, and pricing structure) of the business identified in the application?
5. **MARKETING PLAN-** What are the products and services that the value proposition is built around? Who is the target market and customer segment? How do the target market and the value proposition match?
6. **MATCH QUALITY-** Is the match business or farm machinery, equipment, furniture, or fixtures? Is the match land/buildings, inventory, accounts receivable, or other assets dedicated to the business? What is the market value, unpaid balance and depreciated cost of these items? If using a vehicle as match, equity must be documented. For example, if a business vehicle has a Kelly Blue Book value of \$18,000 and the applicant has an unpaid balance of \$12,000, then the in-kind match of the vehicle is \$6,000.



7. **FINANCIAL NEED-** The fund is designed to assist the new business start-up and or the growing small business that demonstrates a financial need in their application.
8. **PREVIOUS RECIPIENTS-** An applicant that has previously received an Indian Equity Fund Small Business Grant will rank less competitively than other applicants who have not received a previous award. In addition, an applicant who was a previous recipient must provide a status update of the business and meet one of the below criteria in their application:
  - New technology;
  - A new product or line of products; or
  - A new service or services.

## K. GRANT NOTIFICATION AND CONTRACT

Round 1 application Local Review Committees have from October 4, 2016 through October 13, 2016 to make their reviews and forward recommendations to the State Review Committee. The State Review Committee will review Round 1 applications from October 17, 2016 through October 31, 2016. If an application is not forwarded to the State Review Committee, the applicant can improve his/her application to be considered for the Round 2 funding period with changes due no later than October 31, 2016. There are no Local Review Committee reviews for the Round 2 At-Large application period. The State Review Committee will review Round 2 applications from November 1, 2016 through November 15, 2016. In the case where a Local Review Committee does not meet the review deadline or chooses not to review applications, the State Review Committee will perform both Local Priority Round 1 and At Large Round 2 reviews for those areas that do not have local reviews. All recommendations will be forwarded to the Director for final funding approval. This process can take anywhere from two weeks to 30 days. A formal correspondence by mail or email will notify applicants of the funding decisions. Once applicants have been notified of funding decisions, those applications awarded funding will begin the contracting process initiated by the Department.

## L. DISBURSEMENT OF FUNDS

Grant funds used for purchases in amounts greater than \$1,000 will be paid directly to the vendor by the Department. Purchases in amounts less than \$1,000 will be reimbursed to the grantee with the submission of receipts with a draw request to the Department. Grant funds must be expended within one year of award.

## M. REPORTING REQUIREMENTS

**ANNUAL PROGRESS REPORT-** Each year during the term of the contract, the Grantee will submit an annual report (or more frequent if warranted) to the Program, including, but not limited to, as applicable:

1. Summary of the number of jobs created, trained, or retained as a result of the activities performed;
2. Narrative description of the agreed upon activities in the contract as they occur, including any significant activities or problems encountered in carrying out the contract requirements;
3. Any increases in revenue or employment, plans to make capital outlays, plans to increase inventory, expectations of higher sales, costs savings, or efficiencies and earning trends.
4. Any additional borrowing activity including amount of loan, purpose, impact on revenue and employment and loan product.

#### N. INDIAN EQUITY FUND SMALL BUSINESS GRANT TIMELINES

- August 1, 2016- October 31, 2016** **INDIAN EQUITY FUND SMALL BUSINESS GRANT APPLICATION ACCEPTED OPEN CYCLE-** The Program will accept applications on an open cycle basis from eligible applicants.
- August 1, 2016- September 30, 2016** **LOCAL PRIORITY FUNDING (ROUND 1)** - Applications from Native American businesses providing goods and services to the communities located on or adjacent to the reservations where they live and are enrolled will be given priority for funding if submitted by this deadline.
- October 13, 2016- October 31, 2016** **UNSUCCESSFUL LOCAL PRIORITY APPLICATION IMPROVEMENT FOR ROUND 2-** unsuccessful Local Priority applicants will have a small window of time after local reviews and rankings to make any improvements to their applications. Resubmitted Local Priority applications are due by October 31, 2016 and will be re-reviewed in the At-Large group.
- August 1, 2016- October 31, 2016** **AT-LARGE FUNDING (ROUND 2)-** If funds are not fully subscribed at the local level (September 30, 2016 deadline) the funds then become available to fund At-Large applications.
- October 31, 2016** **INDIAN EQUITY FUND SMALL BUSINESS GRANT CYCLE CLOSED-** The last day that any requested changes or modifications can be made to an application in-process or an application can be uploaded through the online platform.

Additional timelines for each grant category are referenced in the calendar graphic at the beginning of the guidelines.

#### O. PROGRAM CONTACT

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### III. NATIVE AMERICAN BUSINESS ADVISORS (NABA)- FISCAL YEAR 2017 CONTRACT EXTENSION & AMENDMENT

#### A. SUMMARY

In fiscal year 2016, eight organizations successfully applied to the Native American Business Advisor (NABA) Grant. The grant is a fund to support the activities of Native American community-based organizations, tribal colleges, and tribal government organizations that support private sector business development on reservations and in tribal communities. These entities offer business counseling and credit counseling, and application support to Native American businesses in Montana. The NABAs are a key community asset necessary in the development and success of Native American businesses. To develop this asset, the Program focused on increasing the technical capacity of the NABA network through Submittable™ online application training webinars, commercial loan and Inclusive Entrepreneurship trainings, mentoring/networking opportunities with other small business advisors and organizations, and Association of Accredited Small Business Consultants membership. These trainings and opportunities were designed to develop the skill sets of Native-led organizations that in turn assist individuals in business start-up, marketing, utilization of business resources, and commercial loan application processes. Additionally, NABAs provide robust application assistance to the Indian Equity Fund Small Business Grant applicants and work closely with the Small Business Development Center (SBDC) Network with clients where appropriate. A total of \$15,000/fiscal year was designated to fund eight NABA applications in each tribal nation area.

- BLACKFEET Native American Community Development Corporation Financial Services, Inc.
- CHIPPEWA CREE Stone Child College
- CONFEDERATED SALISH & KOOTENAI Sovereign Leasing And Financing
- CROW Apsaalooke Development Fund
- FORT BELKNAP Tribal Credit Program
- FORT PECK Economic Development Office
- LITTLE SHELL Native American Development Corporation
- NORTHERN CHEYENNE People's Partner For Community Development

The Program will continue to contract with these same organizations in fiscal year 2017 for \$15,000/fiscal year with expanded training and accreditation opportunities.

#### B. REQUIRED NABA ACTIVITIES

The NABA organizations are tasked with completing the following activity requirements:

- **BUSINESS COUNSELING SERVICES-** assist applicants in creating, writing, and implementing a business plan, establishing product or service cost structures, assisting with market analysis and feasibility resources, establishing realistic financial projections, or providing marketing and sales instruction and information. Note: NABAs must establish regular times to which they are available and can schedule business counseling and Indian Equity Fund Small Business application assistance.
- **INDIAN EQUITY FUND SMALL BUSINESS GRANT APPLICATION TECHNICAL ASSISTANCE-** assist a minimum of 12 Native American businesses with developing and submitting quality applications via the Submittable™ online platform to the Indian Equity Fund Small Business Grant program for fiscal year 2016 and 2017 funding.
- **COMMERCIAL LOAN APPLICATION ASSISTANCE-** assist Native American businesses (where applicable) with developing and submitting a commercial loan application such as those submitted to a community bank, a community-based lender, tribal loan program, or program such as USDA.
- **ASSOCIATION OF ACCREDITED SMALL BUSINESS CONSULTANTS (AASBC) CERTIFICATION-** participating organizations will need to have at least one staff test and become certified as an Accredited Small Business Consultant™. Membership to this organization was covered by the Department (in addition to the NABA grant contract in fiscal year 2016). The AASBC membership is valid through 12/31/2016 and online testing must be completed before that time.
- **IEF & SUBMITTABLE™ APPLICATION TRAINING-** grantees will need to complete a hands-on training in mid July 2016 to debrief the fiscal year 2016 IEF application assistance process, obtain more training in the Submittable™ online platform, and understand the performance and reporting requirements. Funds for this training must be budgeted out of the NABA contract amendment.
- **ADDITIONAL PROPOSED ACTIVITIES-** in fiscal year 2016, each organization proposed additional activities to enhance their services to their communities. These activities will remain the same as what has been contracted unless amended to change the activity and scope of work.
- **CREDIT COUNSELING SERVICES-** provide training (where applicable) for individuals to strengthen their financial management skills such as developing and utilizing a budget, understanding and establishing creditworthiness and accessing credit.
- **STRATEGIC RECAP TRAINING & NABA SUMMIT-** grantees will convene near the end of the grant period (by June 30, 2017) to debrief fiscal year 2017 activities and to strategize for future NABA initiatives based on business community needs.

### C. FUNDING AVAILABILITY

\$4,000 is available as a baseline amount for NABAs to receive for providing business technical assistance services. NABAs can access an additional \$6,000 for providing technical assistance services to help businesses develop and submit quality Small Business Grant applications to the Program. A minimum of 12 quality IEF Small Business Grant applications must be successfully submitted to access this \$6,000. The remaining \$20,000 in funds is available to the NABAs to increase the capacity of the organization to provide more robust business technical assistance and credit education services to their reservation communities and to attend required trainings.

### D. DISBURSEMENT OF FUNDS

The Department requires approved documentation verifying eligible costs incurred by the grantee. The Department reserves the right to request further documentation in a particular case when, in the exercise of its judgment, such documentation is needed to confirm performance. For payment, the basic documentation must include:

1. A Fully Executed Contract
2. Designation of Depository Form
3. Signature Certification Form
4. Request for Payment Form

### E. PAYMENT SCHEDULE

Payment for approved expenses under the contract will be paid in accordance to the disbursement schedule listed below. For an award of \$15,000/ fiscal year (\$30,000 over the 2016-2017 8000biennium) the schedule of payments would be as follows:

1. **Initial Payment** - \$6,000 of the award amount will be available upon contract execution in conjunction with the receipt of:
  - a. Designation of Depository Form,
  - b. Signature Certification Form, and
  - c. Request for Payment Form
2. **Midterm Payment Request can include:**
  - a. up to \$3,000 can be reimbursed for assisting a minimum of 6 Indian Equity Fund Small Business Grant applicants during FY 2016,
  - b. Up to \$4,000 can be requested for baseline technical assistance, completing required training, travel, and administrative expenses,
  - c. Up to \$6,000 can be reimbursed for completing additional capacity building activities with receipt of documentation,
  - d. An additional \$3,000 can be reimbursed for assisting a minimum of 6 Indian Equity Fund Small Business Grant applicants during FY 2017,
  - e. Progress Report, and

- f. Request for Payment Form
3. **Final Payment** – (up to \$8,000 can be reimbursed for completing additional capacity building activities with receipt and approval of the following information:
  - a. Project Closeout Report & Certification Form
  - b. Financial Reporting Form
  - c. Request for Payment Form

## F. REPORTING REQUIREMENTS

During the contract term, the grantee must report on Program funds and activities as follows:

1. **FISCAL YEAR END 2016 PROJECT REPORT:** By June 30, 2016, the grantee will submit a Fiscal Year End Project Report for approval by the Program. The Fiscal Year End Project Report will describe the total costs incurred for the project to date, summarize activities on a monthly basis, identify significant problems encountered in carrying out the services, and provide any Program recommendations. Within 30 days of approving the Fiscal Year End Project Report, the Program will review and process any payment requests for activities completed to date.
2. **FISCAL YEAR 2017 MIDTERM REPORT:** The grantee will submit a FY2017 Midterm report by January 31, 2017 for approval by the Program. The FY2017 Midterm Report will describe the total costs incurred for the project to date, summarize activities on a monthly basis, identify significant problems encountered in carrying out the services, provide the Program documentation of completion of the Association of Accredited Small Business Consultants (AASBC) testing and certification, and provide any Program recommendations. Within 30 days of approving the FY2017 Midterm Report, the Program will review and process any payment requests for activities completed to date.
3. **PROJECT COMPLETION REPORT:** The grantee will submit a Project Completion Report no later than June 16, 2017 for approval by the Program. The Project Completion Report will aggregate and describe the total costs incurred for the project, summarize activities and clients on a monthly basis, identify significant problems encountered in carrying out the services and capacity building activities, and provide any Program recommendations. Within 30 days of approving the Project Completion Report, the Program will review and process any final payment requests.
4. **CLOSEOUT CERTIFICATION FORM:** This form will be sent out after Project Completion and final payment requests have been processed. This form needs to be

signed by the Chief Executive Officer, College President, or Executive Director. It certifies that activities undertaken by the grantee with grant funds have been carried out according to the contract and closes out the contract off of the ICED program's grant line item. The grantee is required to maintain all grant contract related information for five years from the date of the Closeout Certification Form.

## G. FY 2017 NABA TRAINING & TIMELINES

Important webinar, application submission, and training dates:

- Early July 2016**      **CONTRACT AMENDMENTS TO INCLUDE FY 2017 BUDGET AND EXPANDED SCOPE OF WORK**
- Mid July 2016**      **IEF AND SUBMITTABLE™ TRAINING:** grantees will be required to complete a hands-on training in mid July 2016 to debrief the fiscal year 2016 IEF application assistance process, obtain more training in the Submittable™ online platform, and understanding the performance and reporting requirements.
- August 1, 2016-  
October 31, 2016**      **IEF SMALL BUSINESS GRANT APPLICATION ASSISTANCE** can be provided by NABAs to Native American business owners enrolled in a federally recognized tribe in Montana or state-recognized Little Shell Tribe.
- October 3, 2016-  
October 14, 2016**      **LOCAL REVIEW COMMITTEE REVIEWS & RANKINGS OF LOCAL PRIORITY APPLICATIONS COORDINATED BY NABA ORGANIZATION** NABAs will help coordinate reviews of local priority applications by Local Review Committees within a two week window so that recommendations can be forwarded on the State Review Committee in a timely manner.
- October 14, 2016-  
October 31, 2016**      **NABAS CONTINUE TO PROVIDE IEF SMALL BUSINESS GRANT APPLICATION ASSISTANCE & ASSISTANCE TO UNSUCCESSFUL LOCAL PRIORITY APPLICANTS-** NABAs will continue to provide technical assistance to the IEF Small Business Grant applications and will assist any Local Priority applicants who were unsuccessful in Round 1 of funding who would like to improve their application for Round 2 (At-Large).
- December 31, 2016**      **AASBC TESTING AND CERTIFICATION** NABAs will need to have at least one staff test and become certified as an Accredited Small Business Consultant™. AASBC membership was covered as part of the Inclusive Entrepreneurship activities in the previous fiscal year.

JANUARY 31, 2017 FISCAL YEAR 2017 MIDTERM REPORT DUE TO PROGRAM

JUNE 16, 2017 PROJECT COMPLETION REPORT DUE TO PROGRAM

JUNE 30, 2017 FISCAL YEAR END

Additional timelines for each grant category are referenced in the calendar graphic at the beginning of the guidelines.

#### H. PROGRAM CONTACT

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## IV. TRIBAL BUSINESS PLANNING GRANTS

### A. SUMMARY

The Tribal Business Planning Grants (TBPG) portion of the Indian Country Economic Development Program funding is intended to assist tribal governments in deploying comprehensive business planning strategies and activities.

### B. ELIGIBLE APPLICANTS

The governing bodies of each of Montana's eight tribal governments are the only eligible applicants for this portion of the Program.

### C. FUNDING AVAILABILITY

A maximum of \$28,000 per governing body will be available in fiscal year 2017. The Department retains sole and broad discretion over the use of any funds not applied for by an eligible governing body by September 30, 2016.

### D. ELIGIBLE ACTIVITIES

Eligible activities include the following activities evidenced by tangible deliverables (i.e. ordinances, codes, business planning, study, and analysis documents, etc.):

- Business plan development
- Market analysis
- Feasibility study
- Physical business infrastructure planning, such as zoning
- Legal and financial codification or ordinances benefitting business(es)

TBPG funds can be used to match other funding sources in the above areas as long as the funding is not duplicative (see ineligible activities below). Funds can be used as the Tribe's matching funds for the STED Commission Indian Equity Fund that matures in 2017. Up to \$3,000 of the award can be utilized for grant administration.

### E. INELIGIBLE ACTIVITIES

The following activities will not be funded:

- Operation and maintenance costs or expenses;
- Financial expenses, included but not limited to interest expense, bond issuance costs, or any other debt-related costs or expenses;
- Reimbursement for activities completed prior to application;
- Reimbursement for activities not related to business planning;

- Duplicative reimbursement for activities receiving funding for the same services, equipment, or improvements through any other local, state, or federal grant or funding program, except as necessary to fully fund the project; or
- Projects whose primary development will be a casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

## F. HOW TO APPLY

Applications will be accepted online through the Submittable™ application platform <http://businessresources.mt.gov/indiancountry>. Applications must include complete information or uploaded documents in the following sections:

- **APPLICATION (ONLINE)** – The application section must contain a detailed project description and background, an explanation of use of funds, the project objectives and tangible deliverables (i.e. feasibility study or market analysis), and a summary of the economic impact the project would have on the geographic area and its residents.
- **TRIBAL RESOLUTION OR AUTHORIZATION (UPLOAD)** - Appropriate authorization for application to the Program by the tribal government according to established tribal governmental procedures (i.e. tribal council resolution, authorization of the chief elected official of the executive branch, whichever is applicable) is required and will need to be uploaded. The resolution should include the name of the project being applied for, the name of the tribal organization or entity that will be responsible for managing the application process and contract and the governing body’s approval to apply for the Program funds.
- **PROJECT TIMELINE (ONLINE)** – Applicants will need to provide a timeline for when the project activities/scope of work will be completed within a one-year contract period. Project start-up or preparation activities need to be included as well as any the timeframe for procurement of professional services (if applicable) and project implementation and execution of activities.
- **PROJECT SOURCES AND USES OF FUNDS (ONLINE)** – A budget will need to be completed listing all sources and uses of funds for the entire project including cash and in-kind contributions. Expense assumptions and how costs are derived must be included.
- **ADMINISTRATIVE STRUCTURE AND PROJECT MANAGEMENT (ONLINE)** - Information for key staff or procured services and qualifications must be included. Project contacts including the main project contact, the reporting contact, accounting/financial contact(s), and alternate project contact must be identified. Adherence to tribal procurement processes for professional services must be documented.

- **DESIGNATION OF DEPOSITORY FORM (UPLOAD)** – This form must be uploaded with the application in order to designate a direct deposit tribal government account into which all payments can be made.
- **SIGNATURE CERTIFICATION FORM (UPLOAD)** – This form must be uploaded with signatures of at least two officials authorized by the tribal government to request a draw down in grant funds on the contract. Should the tribal Chair or President, or authorized signatories change during the time period of the contract; a new form will need to be submitted.
- **REQUEST FOR FUNDS (UPLOAD)** – This form will need to be submitted to request a draw down in funds on the grant contract. It must be signed by two of the authorized signatories from the most current Signature Certification Form submitted and on file.

## G. APPLICATION REVIEW PROCESS

The Program will first review the application for completeness and sufficiency. During the review, the Program may contact the applicant to discuss any concerns or questions or to request additional information or documentation. The Program may require additional information from the applicant to clarify information presented in the application. Site visits by the Program may be made to the proposed project area for the purpose of verifying or further evaluating information contained in the application.

After the application is deemed complete and sufficient information is available to evaluate the proposed project(s), the application will be evaluated on the extent to which the project proposal meets the goals and objectives of the Program, using the following criteria:

- Potential for the project to help applicants make more strategic decisions about the start-up, expansion, or diversification of a tribal enterprise or venture.
- Likelihood that a specified feasibility study is of sufficient magnitude to have a significant economic impact on the future economic development of the reservation;
- Likelihood that the specified planning activity will provide important or relevant guidance for decision making in the development of land, resources, business, financial or legal infrastructure.
- Overall quality of the application, including measureable project goals, tasks, and activities, a well-developed work plan and budget, and easily identifiable deliverables.
- Capability of the applicant to undertake and satisfactorily complete the project and ensure proper management and reporting of Program funds (i.e. use of Generally Accepted Accounting Principles- GAAP).

The Program will present the evaluation of each application to an internal Grant Review Committee. The applicant can notify the Program if he/she would like to make a 10 minute presentation to the Grant Review Committee. The Committee will review the application and make a preliminary funding recommendation to the Director of the Department, who makes the final funding decision.

## H. GRANT NOTIFICATION AND CONTRACT

Once a project has been approved by the Director, The Tribe will be notified by award letter of the grant. A contract will be executed between the Department and the tribal government by a digital routing and signature process requiring a valid email for the digital execution of the contract by the tribal signatory.

Once a contract is executed, a Required Contract Reporting Letter (either via email or regular mail) will be sent to the Project Contact notifying him/her of the contract reporting requirements and deadlines for the Midterm Progress and Project Completion Reports.

## I. DISBURSEMENT OF FUNDS

The Department requires approved documentation verifying eligible costs incurred by the grantee. The Department reserves the right to request further documentation in a particular case when, in the exercise of its judgment, such documentation is needed to confirm performance. For payment, the basic documentation must include:

1. Designation of Depository Form
2. Signature Certification Form
3. Request for Payment Form

## J. PAYMENT SCHEDULE

Payment for approved expenses under the contract will be paid in accordance to the disbursement schedule listed below. \$3,000 of drawdown funds can be utilized for administration. For an award of \$28,000 the schedule of payments would be as follows:

1. **(Initial)** Payment #1 - \$25,000 of the award amount will be available upon contract execution in conjunction with the receipt of:
  - a. Designation of Depository Form,
  - b. Signature Certification Form, and
  - c. Request for Payment Form
2. **(Final)** Payment #2 - \$3,000 will be available upon receipt and approval of the following information:
  - a. Project Closeout Report & Certification Form,
  - b. Request for Payment Form

3. **(Exception)** -matching funds for STED Commission Indian Equity Fund. Any specified amount in the contract that is designated as match to the STED Commission's Indian Equity Fund that matures in 2017 will utilize an Inter-unit Journal Entry to deposit the funds into the STED Commission's special revenue account. These matching funds can be transferred upon full execution of the contract and do not require a draw down request form from the tribal government.

All payments will be made via direct deposit into a designated Tribal government account. Once a contract has been executed, banking forms will be provided to the Tribe which will indicate the Tribal government account information and banking institution in which the monies are to be deposited (Designation of Depository Form), and the names of individuals who are authorized to draw funds from the contract (Signature Certification Form). If authorized signatories, tribal chair/president, or Chief Financial Officer designated on Signature Certification Form change, a new Signature Certification Form must be submitted.

If a tribal government receives an adverse audit opinion or disclaimer from any state or federal agency or authorized agent thereof, the Department reserves the right to release any remaining Program funds to that tribal government on a reimbursement basis only, upon receipt of a Request for Reimbursement accompanied by adequate supporting documentation of eligible project expenses.

#### K. REPORTING REQUIREMENTS:

1. **MIDTERM PROGRESS REPORT:** No later than 30 days after the halfway mark during the term of the contract term, the Grantee must submit a report detailing the progress made on the project over first half of the contract and anticipated progress over the final half of the contract and if applicable, drafts or updates that have been received from the professional completing the activity with a narrative summary update.
2. **PROJECT COMPLETION REPORT:** Upon completion of the final project, the grantee will submit a final Project Completion Report for approval by the Program. The Project Completion Report will describe the total costs incurred for the project, identify the final completion date, summarize any significant problems encountered in carrying out the project, and provide the final information for each item set forth in paragraph (a) in this Section. Within 30 days of approving the Project Completion Report, the Program will issue the Notice of Project Closeout (Closeout Certification Form) that will need to be signed by the tribal chair or president and returned. The grantee is required to maintain all grant contract related information for five years from the date of the Closeout Certification Form.

3. **CLOSEOUT CERTIFICATION FORM:** This form needs to be signed by the Chief Executive Officer. It certifies that activities undertaken by the grantee with grant funds have been carried out according to the contract. This form closes out the contract off of the Program's grant account. Retention schedule-- the grantee is required to maintain all grant contract related information for five years from the date of the Closeout Certification Form.

## L. TRIBAL BUSINESS PLANNING GRANT PROJECT TIMELINES

July 1, 2016- TRIBAL BUSINESS PLANNING GRANTS GRANT APPLICATIONS

September 30, 2016 ACCEPTED OPEN CYCLE Applications deemed as complete will be reviewed by the Grant Review Committee on a monthly basis.

MARCH 31, 2017 FISCAL YEAR 2017 MIDTERM REPORT DUE TO PROGRAM

JUNE 16, 2017 PROJECT COMPLETION REPORT DUE TO PROGRAM

JUNE 30, 2017 FISCAL YEAR END

Additional timelines for each grant category are referenced in the calendar graphic at the beginning of the guidelines.

## M. PROGRAM CONTACT

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