United States
Environmental Protection
Agency

Enforcement and
Compliance Assurance
(2201A)

October 2001

Office of Environmental Justice

http://www.epa.gov/oeca/ej

Small Grants Program Application Guidance FY 2002

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INTRODUCTION

This guidance outlines the purpose, goals, and general procedures for application and award under the **Fiscal Year (FY) 2002 (October 1, 2001 - September 30, 2002)** Environmental Justice Small Grants Program. For FY 2002, the EPA will make available approximately **$**1,500,000 in grant funds to eligible organizations (pending availability of funds); $500,000 of this amount is available for Superfund projects only. The application must be **delivered by close of business Friday, February 21, 2002** to your appropriate EPA regional office (listed in Section III) or **postmarked by midnight Friday, February 21, 2002.**

This guidance includes the following:

I. Scope and Purpose of the Environmental Justice Small Grants Program
II. Eligible Applicants and Activities
III. Application Requirements
IV. Process for Awarding Grants
V. Expected Time-frame for Reviewing and Awarding Grants
VI. Project Period and Final Reports
VII. Fiscal Year 2003 Environmental Justice Small Grants Program

Appendix A: Standard Forms 424 and 424A and Completed Sample Forms
Appendix B: Copy of 40 CFR 30.27 "Allowable Costs"
Appendix C. Guidance on Lobbying Restrictions
Appendix D: Tips on Preparing an Application
Appendix E: State Single Points of Contact
Appendix F: Additional Government Application Forms

Translations Available

The Spanish translation of this application is found at the back of this document. Please note the forms are translated into Spanish but **MUST** be completed in English.

I. SCOPE AND PURPOSE OF THE OEJ SMALL GRANTS PROGRAM

The purpose of this grant program is to provide financial assistance to eligible community groups (i.e., community-based/grassroots organizations, churches, or other nonprofit organizations with a focus on community-based issues) and federally recognized tribal governments that are working on or plan to carry out projects to address environmental justice issues. **Preference for awards will be given to community-based/grassroots organizations that are working on local solutions to local environmental problems.** Funds can be used to develop a new activity or substantially improve the quality of existing programs that have a direct impact on affected communities. All awards will be made in the form of a grant not to exceed one year.

Background

In its 1992 report, *"Environmental Equity: Reducing Risk for All Communities*," the EPA found that minority and/or low-income populations may experience higher than average exposure to toxic pollutants than the general population. The EPA established the Office of Environmental Justice (OEJ) in 1992 to help these communities identify and assess pollution sources, to implement environmental awareness and training programs for affected residents, and to work with community stakeholders to devise strategies for environmental improvements.

In June of 1993, OEJ was delegated granting authority to solicit, select, supervise, and evaluate environmental justice-related projects, and to disseminate information on the projects' content and effectiveness. Fiscal year (FY) 1994 marked the first year of the OEJ Small Grants Program. The chart below shows how the grant monies have been distributed since FY 1994.

Fiscal Year	$ Amount	Number of Awards
1994	500,000	71
1995	3,000,000	175
1996	2,800,000	152
1997	2,700,000	139
1998	2,500,000	123
1999	1,455,000	95
2000	899,000	61
2001	1,300,000	90

How does EPA Define Environmental Justice Under the Environmental Justice Small Grants Program?

Environmental justice is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, culture, education, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. *Fair treatment* means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. *Meaningful involvement* means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected.

II. ELIGIBLE APPLICANTS AND ACTIVITIES

A. *Who May Submit Applications and May Applicants Submit More Than One?*

Any affected, non-profit community organization[1] or federally recognized tribal government may submit an application upon publication of this solicitation. ***Applicants must be non-profit*** to receive these federal funds. State-recognized tribes or indigenous peoples' organizations can apply for grant assistance if they meet the definition of a nonprofit organization. "Non-profit organization" means any corporation, trust, association, cooperative, or other organization that: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit status may be demonstrated through designation by the Internal Revenue Service as a 501(c) organization or evidence that a state recognizes the organization's non-profit status. While state and local governments and academic institutions are eligible to receive grants, **preference will be given to non-profit, community-based/grassroots organizations and federally recognized tribal governments.** Preference may be given to those organizations that have not received previous grants under the Environmental Justice Small Grants Program. ***Individuals are not eligible to receive grants.***

The Environmental Justice Small Grants Program is a competitive process. To prevent preferential treatment to any single potential applicant, the Agency will offer training and/or conference calls on grant application guidelines. We encourage you to participate so that you can have your questions answered in a public forum. Call your Regional office to inquire about the scheduled dates of the special training and conference calls. (See Contact List on pages 9 - 11)

The EPA will consider only one application per applicant for a given project. Applicants may submit more than one application if the applications are for separate and distinct projects or activities. Applicants that previously received small grant funds may submit an application for FY 2002. Every application for FY 2002 is evaluated based on the merit of the proposed project in comparison to other FY 2002 applications. Past performance may be considered during the ranking and evaluation process for those applicants who have received previous grants.

B. *What Types of Projects Are Eligible for Funding?*

While there are many applications submitted from community groups for equally worthwhile projects, the EPA is emphasizing the need for two types of projects, multimedia and research. Multimedia projects address pollution in more than one environmental medium (e.g., air, water, etc.). Projects which are research-oriented and specific to hazardous substances are considered for funding available under the *Comprehensive Environmental Response, Compensation and Liability Act* (CERCLA). This Act is often referred to as "Superfund." With the exception of grants awarded with Superfund appropriations, the Office of Environment Justice Small Grants Program awards grants on a multi-media basis.

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1) As a result of the Lobbying Disclosure Act of 1995, EPA (and other federal agencies) may not award grants to non-profit, 501(c)(4) organizations that engage in lobbying activities.

Focus Area for Bonus Points

The Office of Environmental Justice which manages the Agency's national grants program would like to elicit grant applications in two specific areas. The Office has asked the National Environmental Justice Advisory Council to hold two public meetings focusing on: (a) fish consumption, water quality, and environmental justice; and (b) innovative technologies for pollution prevention. Thus, as a result, we are encouraging applicants to focus their projects on one of these two topics and will add up to ten (10) bonus points for applications concerning one of these two topics.

To be considered for funding, the application must meet the criteria under **either** Item 1 **or** Item 2 below:

1. Multi-Media Requirements (use two)

Recipients of these funds must implement projects that address pollution in more than one environmental medium (e.g., air, water). To show evidence of the breadth of the project's scope, the application must identify **at least two** environmental statutes that the project will address. To be eligible for funding, your project must include activities outlined in the following environmental statutes:

A. Statutes

1) *Clean Water Act*, Section 104(b) (3): conduct and promote the coordination of research, investigations, experiments, training, demonstration, surveys, and studies relating to the causes, extent, prevention, reduction, and elimination of water pollution.

2) *Safe Drinking Water Act*, Section 1442(b) (3): develop, expand, or carry out a program (that may combine training, education, and employment) for occupations relating to the public health aspects of providing safe drinking water.

3) *Solid Waste Disposal Act*, Section 8001(a): conduct and promote the coordination of research, investigations, experiments, training, demonstrations, surveys, public education programs, and studies relating to solid waste (e.g., health and welfare effects of exposure to materials present in solid waste and methods to eliminate such effects).

4) *Clean Air Act*, Section 103(b) (3): conduct research, investigations, experiments, demonstrations, surveys, and studies related to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution.

5) *Toxic Substances Control Act*, Section 10(a): conduct research, development, monitoring, public education, training, demonstrations, and studies on toxic substances

6) *Federal Insecticide, Fungicide, and Rodenticide Act*, Section 20(a): conduct research, development, monitoring, public education, training, demonstrations, and studies on pesticides.

7) *Marine Protection, Research, and Sanctuaries Act*, Section 203: conduct research, investigations, experiments, training, demonstrations, surveys, and studies relating to the minimizing or ending of ocean dumping of hazardous materials and the development of alternatives to ocean dumping.

B. Goals for multi-media projects.

In addition to the requirements outlined above, the application must also include a description of how an applicant plans to meet **at least two** of the three program goals listed below. See Section III "Application Requirements" for more details.

1) Identify necessary improvements in communication and coordination among all stakeholders, including existing community-based/grassroots organizations and local, state, tribal, and federal environmental programs. Facilitate communication and information exchange, and create partnerships among stakeholders to address disproportionate, high and adverse environmental exposure (e.g., workshops, awareness conferences, establishment of community stakeholder committees);

2) Build community capacity to identify local environmental justice problems and involve the community in the design and implementation of activities to address these concerns. Enhance critical thinking, problem-solving, and active participation of affected communities. (E.g., train-the-trainer programs).

3) Enhance community understanding of environmental and public health information systems and generate information on pollution in the community. If appropriate, seek technical experts to demonstrate how to access and interpret public environmental data (e.g., Geographic Information Systems (GIS), Toxic Release Inventories (TRI) and other databases).

2. Requirements for Research grants funded under CERCLA:

Recipients of these funds must implement projects that are specifically research oriented and specific to hazardous substances. The EPA's grant regulations define "research" as "systematic study directed toward fuller scientific knowledge or understanding of the subject studied," 40 CFR 30.2(dd). The EPA has interpreted "research" to include studies that extend to socioeconomic, institutional, and public policy issues as well as the "natural" sciences. Your research project MUST meet the following criteria:

A. Eligibility

1) CERCLA, Section 311(c) authorizes EPA to fund research grants. Therefore, Superfund grants can only be awarded when the project is of a research nature. Research must relate to the detection, assessment, and evaluation of the effects on and risks to human health from hazardous substances and the detection of hazardous substances in the environment.

2) Applicants must demonstrate that the research project relates to "hazardous substances" as that term is defined by CERCLA 101 (14). There is a list of hazardous substances at 40 CFR 302.4 which, while not exclusive, does provide useful guidance.

3) Research funded under CERCLA 311(c) cannot relate to petroleum products excluded from the definition of hazardous substances found at CERCLA 101(14).

4) The project must be of a research nature only, i.e., survey, research, collecting and analyzing data which will be used to expand scientific knowledge or understanding of the subject studied. Research projects, however, need not be limited to academic studies. Projects which expand the scientific knowledge or understanding, of a community, about hazardous substances issues, that effect their community, can be funded as EJ Superfund grants.

5) The project cannot carry out training activities, other than training in research techniques. In other words CERCLA 311(c) research projects cannot be designed as outreach, technical assistance, or public education activities.

6) The project can include conferences only if the purpose of the conference is to present research results or to gather research data.

B. Goal for Research Projects.

In addition to the special research requirements for Superfund grants under CERCLA outlined above, the application must include a description of how the research projects can serve as models for other communities when confronted with similar problems. See Section III "Application Requirements" for more details.

Please note:

1) If your project includes scientific research and/or data collection, you must be prepared to submit a Quality Assurance Plan (QAP) to your EPA Project Officer prior to the beginning of the research. Multi media projects may also require a Quality Assurance Plan.

2) CERCLA grants are financed with Superfund appropriations and must be limited to research grants under CERCLA 311(c). Do not propose projects which include activities under the "multi-media" authorities described in Section 1, above, to carry out a Superfund research project.

The issues discussed above may be defined differently among applicants from various geographic regions, including areas outside the continental U.S. (Alaska, American Samoa, Guam, Hawaii, Puerto Rico, and the U.S. Virgin Islands). Each application should define its issues as they relate to the specific project. The narrative/work plan must include a succinct explanation of how the project may serve as a model in other settings and how it addresses a high-priority environmental justice issue. The degree to which a project addresses a high-priority environmental justice issue will vary and is defined by applicants according to their local environmental justice concerns.

C. How Much Money May be Requested, and are Matching Funds Required?

The ceiling in federal funds for an individual grant is $20,000. Applicants are not required to provide matching funds.

D. *Are There Any Restrictions on the Use of the Federal Funds?*

Yes. EPA grant funds can only be used for the purposes set forth in the grant agreement, and be consistent with the statutory authority for the award. Grant funds from this program cannot be used for matching funds for other federal grants, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, the recipient may not use these federal assistance funds to sue the federal government or any other government entity. Refer to 40 CFR 30.27, entitled "Allowable Costs" (see Appendix B). The scope of environmental justice grants may not include construction, promotional items (e.g., T-shirts, buttons, hats), and furniture purchases.

III. APPLICATION REQUIREMENTS

A. *What is Required for Applications?*

Proposals from eligible organizations **must** have the following:

1. **Application for Federal Assistance (SF 424)** the official form is required for all federal grants that requests basic information about the grantee and the proposed project. The applicant must submit the original application, and one copy, signed by a person duly authorized by the governing board of the applicant. Please complete Part 10 of the SF 424 form, "Catalog of Federal Domestic Assistance Number" with the following information: 66.604 - Environmental Justice Small Grants Program. See Appendix A for a copy of this form and a completed sample.

2. **The Federal Standard Form (SF 424A) and budget detail**, which provides information on your budget. **For the purposes of this grant program, complete only the non shaded areas of SF 424A**. See Appendix A for a copy and completed sample of a budget detail. Budget figures/projections should support your work plan/narrative. The EPA portion of each grant will not exceed $20,000. Therefore, your budget should reflect this limit on federal funds.

3. **A narrative/work plan of the proposal is not to exceed five pages**. **Applications may not be considered if they exceed five single pages.** A narrative/work plan describes the applicant's proposed project. The pages of the work plan must be letter size (8 ½ x 11 inches), with normal type size (12 characters per inch), and at least 1" margins.

   The narrative/work plan is one of the most important aspects of your application and (assuming that all other required materials are submitted) will be used as the primary basis for selection. Work plans must be submitted as follows;

a. A one page summary that:

- Identifies the environmental justice issue(s) to be addressed by the project;
- Identifies the Environmental Justice community/target audience;
- Identifies the environmental Statutes/Acts addressed by the project ; and
- Identifies the program goal that the project will meet and how it will meet them

b. A concise introduction that states the nature of the organization (i.e., how long it has been in existence, if it is incorporated, if it is a network, etc.), how the organization has been successful in the past, purposes of the project, the environmental justice community/target audience, projects completion plans/time frames, and expected results.

c. A concise project description that describes how the applicant is community-based and/or plans to involve the target audience in the project and how the applicant plans to meet at least two of the three program goals outlined in Section IIB: "Environmental Justice Small Grants Program Goals." Additional credit **will not be given** for projects that fulfill more than two goals.

d. A conclusion discussing how the applicant will evaluate and measure the success of the project, including the anticipated benefits and challenges in implementing the project.

e. An appendix with resumes of up to three key personnel who will be significantly involved in the project.

4. **Letter(s) of commitment.** If your proposed project includes the significant involvement of other community organizations, your application must include letters of commitment from these organizations.

Applications that do not include the information listed above in items 1-3 and item 4, if applicable, will not be considered for an award.

Please note: Your application to this EPA program may be subject to your state's intergovernmental review process and/or the consultation requirements of Section 204, Demonstration Cities and Metropolitan Development Act. Check with your state's Single Point of Contact to determine your requirements. Some states do not require this review. Applicants from American Samoa, Guam, Puerto Rico, and the U.S. Virgin Islands should also check with their Single Point of Contact. A list of the states Single Point of Contact is provided in Appendix E and you may also call your EPA regional contact (listed below) or EPA Headquarters Grants Policy, Information and Training Branch at (202) 564-5325 for additional information. **Federally recognized tribal governments are not required to comply with this procedure.**

B. *When and Where Must Applications be Submitted?*

The applicant must submit/mail one signed original application with required attachments and one copy to the primary contact at the EPA regional office listed below. The application must be **delivered by close of business Friday, February 21, 2002** to your appropriate EPA regional office (listed below) or **postmarked by midnight Friday, February 21, 2002.**

REGIONAL CONTACT NAMES AND ADDRESSES

Region 1	***Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont***
Primary Contact:	Ronnie Harrington (617) 918-1703 harrington.veronica@epa.gov USEPA Region 1 (SAA) 1 Congress Street - 11th Floor Boston, MA 02203-0001
Secondary Contact:	Pat O'Leary (617) 565-3834 oleary.pat@epa.gov
Region 2	***New Jersey, New York, Puerto Rico, U.S. Virgin Islands***
Primary Contact:	Natalie Loney (212) 637-3639 loney.natalie@epa.gov USEPA Region 2 290 Broadway, 26th Floor New York, NY 10007
Secondary:	Terry Wesley (212) 637-3576 wesley.terry@epa.gov
Region 3	***Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia***
Primary Contact:	Reginald Harris (215) 814-2988 harris.reginald@epa.gov USEPA Region 3 (3DA00) 1650 Arch Street Philadelphia, PA 19103-2029

Region 4	***Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee***
Primary Contact:	Gloria Love(404) 562-9672 love.gloria@epa.gov USEPA Region 4 61 Forsyth Street Atlanta, GA 30303-8960
Secondary:	Cynthia Peurifoy (404) 562- 9649 peurifoy.cynthia@epa.gov
Region 5	***Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin***
Primary Contact:	Margaret Millard (312) 353-1440 millard.margaret@epa.gov USEPA Region 5 (T-165) 77 West Jackson Boulevard Chicago, IL 60604-3507
Secondary:	Karla Owens (312) 886-5993 owens.karla@epa.gov
Region 6	***Arkansas, Louisiana, New Mexico, Oklahoma, Texas***
Primary Contact:	Nelda Perez (214) 665-2209 perez.nelda@epa.gov USEPA Region 6 Fountain Place, 12th Floor 1445 Ross Avenue (RA-D) Dallas, Texas 75202-2733
Secondary Contact:	Olivia Balandran (214) 665-7257 balandran.olivia-r@epa.gov
Region 7	***Iowa, Kansas, Missouri, Nebraska***
Primary Contact:	March Runner (913) 551-7898 or 1-800-223-0425 runner.march@epa.gov USEPA Region 7 901 North 5th Street (ECORA) Kansas City, KS 66101
Secondary Contact:	Althea Moses (913) 551-7649 **or 1-800-223-0425** moses.althea@epa.gov
Region 8	***Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming***
Primary Contact:	Nancy Reish (303) 312-6040 reish.nancy@epa.gov USEPA Region 8 (8ENF-EJ) 999 18th Street, Suite 500 Denver, CO 80202-2466
Secondary:	Jean Belille (303) 312-6556 belille.jean@epa.gov

Region 9	***Arizona, California, Hawaii, Nevada, American Samoa, Guam***
Primary Contact:	Willard Chin (415) 744-1204 chin.willard@epa.gov USEPA Region 9 (A-2-2) 75 Hawthorne Street San Francisco, CA 94105
Secondary:	EJ Information Line (415) 744-1565
Region 10	***Alaska, Idaho, Oregon, Washington***
Primary Contact:	Victoria Plata (206) 553-8580 plata.victoria@epa.gov USEPA Region 10 (CEJ-163) 1200 Sixth Avenue Seattle, WA 98101
Secondary:	Mike Letourneau (206) 553-1687 letourneau.mike@epa.gov

IV. PROCESS FOR AWARDING GRANTS

A. *How Will Applications be Reviewed?*

The *EPA regional offices will review, evaluate, and select grant recipients*. Applications will be screened to ensure that they meet all eligible activities and requirements described in Sections II and III. Applications will be disqualified if they do not meet these eligibility standards. Applications will be evaluated by regional review panels based on the criteria outlined below.

1. Threshold Criteria. Applications that propose projects that are inconsistent with the EPA's statutory authority or the goals for the program are ineligible for funding and will not be evaluated and ranked. Regional offices will contact applicants whose proposals do not meet the threshold requirements to determine whether the proposal can be revised to meet the threshold requirements.

2. Evaluation Criteria. Proposals will be ranked using the following criteria:

a. Responsiveness of the Work plan to Environmental Justice issues affecting the community to be served.
b. Effectiveness of the project design.
c. Clarity of the Measures of Success.
d. Qualifications of Project Staff
e. Bonus points for projects from focus area topics

B. *How Will the Final Selections be Made?*

After the individual projects are reviewed and ranked, the EPA regional officials will compare the best applications and make final selections. Additional factors that the EPA will take into account include geographic and socioeconomic balance, diverse nature of the projects, cost, and projects whose benefits can be sustained after the grant is completed. Regional Administrators will select the final grants.

Please note that this is a very competitive grant's program. Limited funding is available and many grant applications are expected to be received. Therefore, the Agency cannot fund all applications. If your project is not funded, a listing of other EPA grant programs may be found in the Catalog of Federal Domestic Assistance. This publication is available on the internet at www.cdfa.gov and at local libraries, colleges, or universities.

C. *How Will Applicants be Notified?*

After all applications are received, the regional EPA offices will mail acknowledgments to applicants in their regions. Once applications have been recommended for funding, the EPA Regions will notify the finalists and request any additional information necessary to complete the award process. The finalists will be required to complete additional government application forms prior to receiving a grant, such as the EPA Form SF-424B (Assurances - Non-Construction Programs) and EPA Form 5700-48, the Certification Regarding Debarment, Suspension, and Other Responsibility Matters. The federal government requires all grantees to certify and assure that they will comply with all applicable federal laws, regulations, and requirements. The EPA Regional Environmental Justice Coordinators or their designees will notify those applicants whose projects are not selected for funding.

V. EXPECTED TIME-FRAME FOR REVIEWING AND AWARDING GRANTS

October 30, 2001	FY 2002 OEJ Small Grants Program Application Guidance is available and published in the Federal Register.
November 5, 2001 to February 15, 2002	Eligible grant recipients develop and complete their applications.
February 21, 2002	Applications must be **delivered by close of business Friday, February 21, 2002** to your appropriate EPA regional office (listed in Section III) or **postmarked by midnight Friday, February 21, 2002.**
February 22, 2002 to April 29, 2002	EPA regional program officials review and evaluate applications and select grant finalists
April 30, 2002 to July 26, 2002	Applicants will be contacted by the Region if their application is being considered for funding. Additional information may be required from the finalists, as indicated in Section IV. The EPA regional grant offices process grants and make awards.
September 26, 2002	EPA expects to release the national announcement of the FY 2002 Environmental Justice Small Grant Recipients.

VI. PROJECT PERIOD AND FINAL REPORTS

Activities must be completed and funds spent within the time frame specified in the grant award, usually one year. Project start dates will depend on the grant award date (most projects begin in August or September). The recipient organization is responsible for the successful completion of the project. The recipient's project manager is subject to approval by the EPA project officer. However, the EPA may not identify any particular person as the project manager.

All recipients must submit final reports for EPA approval within ninety (90) days of the end of the project period. Specific report requirements (e.g., Final Technical Report and Financial Status Report) will be described in the award agreement. The EPA will collect, review, and disseminate grantees' final reports to serve as model programs.

For further information about this program, please visit the EPA's website at www.epa.gov/oeca/ej/ or call our hotline at 1-800-962-6215 (available in Spanish).

VII. FISCAL YEAR 2003 ENVIRONMENTAL JUSTICE SMALL GRANTS PROGRAM

A. *How Can I Receive Information on the Fiscal Year 2003 (October 1, 2002 to September 30, 2003) Environmental Justice Small Grants Program?*

If you wish to be placed on the national mailing list to receive information on the FY 2003 Environmental Justice Small Grants Program, email your request along with your name, organization, address, and phone number to lewis.sheila@epa.gov or mail your request along with your name, organization, address, and phone number to:

U.S. Environmental Protection Agency
Environmental Justice Small Grants Program (2201A)
FY 2003 Grants Mailing List
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, D.C. 20460
1 (800) 962-6215

If you wish to receive information on local Environmental Justice programs, you may mail or email your request along with your name, organization, address, and phone number to the appropriate regional office listed on pages 9 - 11 of this application.

Thank you for your interest in our Small Grants Program.

APPENDIX A - Standard Forms 424 and 424A

Grant Application Packages are available on http://www.epa.gov/ogd/hqgrant/ in Adobe pdf format or WordPerfect format. To view the pdf file, you'll need the Adobe Acrobat plug-in for your browser.

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION

Application	Preapplication
☐ **Construction**	☐ **Construction**
☐ **Non-Construction**	☐ **Non-Construction**

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION (EIN):

☐☐ – ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: (enter appropriate letter here) _____

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify): _____

8. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

A. Increase Award B. Decrease Award
C. Increase Duration D. Decrease Duration
Other Specify: _____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

☐☐ ---- ☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT:

Start Date	End Date

14. CONGRESSIONAL DISTRICT OF:

a. Applicant:	b. Project

15. Estimated Funding:

a. Federal	$
b. Applicant	$
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESSES FOR REVIEW ON:

DATE _____

b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ YES If "Yes" attach an explanation. ☐ NO

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative.	b. Title:	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 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 (0348-0043), 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.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: ____"New" means a new assistance award. _ "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. _ "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State counties, cities).
13.	Self explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collections 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 (0348-0044), 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.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which required Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories show in Lines a - k of Section B.

Section A. Budget Summary Lines 1 - 4, Columns (a) and (b)

For applications pertaining to a *single* federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1 - 4, Columns (c) through (g).

For *new* applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program* applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1 - 4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function, or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6 a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

> **Column (a) -** Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.
>
> **Column (b) -** Enter the contribution to be made by the applicant.
>
> **Column (c) -** Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agency should leave this column blank.
>
> **Column (d) -** Enter the amount of cash and in-kind contributions to be made from all other sources.
>
> **Column (e) -** Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION Application: ☐ Construction ☐ Non-Construction Preapplication: ☐ Construction ☐ Non-Construction	2. DATE SUBMITTED 2/20/01	Applicant Identifier
	3. DATE RECEIVED BY STATE	State Application Identifier
	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name: G.W. Doe Community Center	Organizational Unit:
Address (give city, county, state, and zip code): 111 Anystreet Town, Ohio 00000	Name and telephone number of the person to be contacted on matters involving this application (give area code) G.W. Doe (111) 000-0000

6. EMPLOYER IDENTIFICATION (EIN):

☐☐ - ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: (enter appropriate letter here) _____

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify): _____

8. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

☐ ☐

If Revision, enter appropriate letter(s) in box(es):

A. Increase Award B. Decrease Award
C. Increase Duration D. Decrease Duration
Other Specify: _____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

☐☐ ---- ☐☐☐

TITLE: Environmental Justice Small Grants Program

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Town Water Quality Project

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

City of Town, Ohio

13. PROPOSED PROJECT: 06/01/01

Start Date	End Date
06/01/01	05/31/02

14. CONGRESSIONAL DISTRICT OF:

a. Applicant: 02

b. Project: 01, 02, 03

15. Estimated Funding:

a. Federal	$ 14,958
b. Applicant	$
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$ 14,958

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESSES FOR REVIEW ON:

DATE 12/20/95

b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ YES If "Yes" attach an explanation. ☐ NO

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative. G. W. Doe	b. Title: Executive Director	c. Telephone Number (111) 000-0000
d. Signature of Authorized Representative G. W. Doe		e. Date Signed 2/15/01

Sample

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$5,800.00	$	$	$	$5,800.00
b. Fringe Benefits	986.00				986.00
c. Travel	600.00				600.00
d. Equipment	2,223.00				2,223.00
e. Supplies	500.00				500.00
f. Contractual	3,149.00				3,149.00
g. Construction					
h. Other	1,700.00				1,700.00
i. Total Direct Charges (sum of 6a-h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

Sample

BUDGET DETAIL

I.	***Personnel***	
	0.5 FTE Community Outreach Worker @ $10.00/hour	**$ 3,400.00**
	0.2 FTE Project Coordinator @ $12.00/hour	**1,400.00**
	0.2 FTE Office Manager @ $7.00/hour	**1,000.00**
		5,800.00
II.	***Fringe Benefits at 17%***	
	0.5 FTE Community Outreach Worker	**$ 578.00**
	0.2 FTE Project Coordinator	**238.00**
	0.2 FTE Office Manager	**170.00**
		986.00
III.	***Travel***	
	Local Travel @ $0.26/mile	**$ 600.00**
IV.	***Equipment***	**$ 2,223.00**
	Audio Visual and Projector Rental	
	Typewriter/PC	
V.	***Supplies***	
	Paper	**$ 250.00**
	Pencils/Pens	**100.00**
	Folders	**150.00**
		500.00
VI.	***Other***	**$ 1,700.00**
	Printing	
	Postage	
	Telephone	
VII.	***Contractual***	**$ 3,149.00**
	XYZ Engineering Company	
Total		**$14,958.00**

Appendix B 40 CFR 30.27 "Allowable Costs"

[Code of Federal Regulations][Title 40, Volume 1, Part 1 to 49]
[Revised as of July 1, 2000]
From the U.S. Government Printing Office via GPO Access
[CITE: 40CFR30.27] [Page 311]
TITLE 40--PROTECTION OF ENVIRONMENT
CHAPTER I--ENVIRONMENTAL PROTECTION AGENCY

PART 30--UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND AGREEMENTS WITH INSTITUTIONS OF HIGHER EDUCATION, HOSPITALS, AND OTHER NON-PROFIT ORGANIZATIONS--Table of Contents

Subpart C--Post-Award Requirements

Sec. 30.27 Allowable costs.

(a) For each kind of recipient, there is a set of Federal principles for determining allowable costs. Allowability of costs shall be determined in accordance with the cost principles applicable to the entity incurring the costs. Thus, allowability of costs incurred by State, local or federally-recognized Indian tribal governments is determined in accordance with the provisions of OMB Circular A-87, ``Cost Principles for State and Local Governments.'' The allowability of costs incurred by non-profit organizations is determined in accordance with the provisions of OMB Circular A-122, ``Cost Principles for Non-Profit Organizations.'' The allowability of costs incurred by institutions of higher education is determined in accordance with the provisions of OMB Circular A-21, ``Cost Principles for Educational Institutions.'' The allowability of costs incurred by hospitals is determined in accordance with the provisions of appendix E of 45 CFR part 74, ``Principles for determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals.'' The allowability of costs incurred by commercial organizations and those non-profit organizations listed in Attachment C to Circular A-122 is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR part 31. In addition, EPA's annual Appropriations Acts may contain restrictions on the use of assistance funds. For example, the Acts may prohibit the use of funds to support intervention in Federal regulatory or adjudicatory proceedings.

(b) EPA will limit its participation in the salary rate (excluding overhead) paid to individual consultants retained by recipients or by a recipient's contractors or subcontractors to the maximum daily rate for level 4 of the Executive Schedule unless a greater amount is authorized by law. (Recipient's may, however, pay consultants more than this amount.) This limitation applies to consultation services of designated individuals with specialized skills who are paid at a daily or hourly rate. This rate does not include transportation and subsistence costs for travel performed; recipients will pay these in accordance with their normal travel reimbursement practices. Contracts with firms for services which are awarded using the procurement requirements in this part are not affected by this limitation.

Appendix C GUIDANCE ON LOBBYING RESTRICTIONS

The purpose of this guidance is to remind nonprofit organizations, universities, and other non-government recipients of EPA grants[2] that, with very limited exceptions, you may not use Federal grant funds or your cost-sharing funds to conduct lobbying activities. The restrictions on lobbying are explained in Office of Management and Budget (OMB) Circular No. A-21, "Cost Principles for Educational Institutions," 61 Fed. Reg. 20880 (May 8, 1996),[3] and OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations; 'Lobbying' Revision," 49 Fed. Reg. 18260 (April 27, 1984). As a recipient of EPA funds, you must be aware of and comply with these restrictions.[4]

The general objective of the restrictions is to prohibit the use of appropriated funds for lobbying, publicity, or propaganda purposes designed to support or defeat legislation. The restrictions do not affect the normal sharing of information or lobbying activities conducted with your own funds (so long as they are not used to match the grant funds).

Unallowable Lobbying Activities

Under Circulars A-21 and A-122, the costs of the following activities are unallowable:

(1) Contributions, endorsements, publicity or similar activities intended to influence Federal, State or local elections, referenda, initiatives or similar processes.

(2) Direct and indirect financial or administrative support of political parties, campaigns, political action committees, or other organizations created to influence elections. Recipients may help collect and interpret information. These efforts must be for educational purposes only, however, and cannot involve political party activity or steps to influence an election.

The term "grant" as used in this guidance refers to grants and cooperative agreements.

Grants awarded before May 8, 1996, are subject to the previous version of Circular No. A-21, but the provisions on lobbying have remained essentially unchanged.

This guidance does not address the restrictions on lobbying contained in 40 CFR Part 34, the EPA regulations implementing section 319 of P.L. No. 101-121, known as "the Byrd Amendment," generally prohibit recipients of Federal grants, contracts, and loans from using Federal funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific grant, contract, or loan. Part 34 includes detailed certification and disclosure requirements. This guidance also does not address section 18 of the Lobbying Disclosure Act of 1995, P.L. No. 104-65, which provides that organizations described in section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities are not eligible for Federal grants or loan

Appendix C GUIDANCE ON LOBBYING RESTRICTIONS

(3) Attempts to influence the introducing, passing, or changing of Federal or State legislation through contacts with members or employees of Congress or State legislatures, including attempts to use State and local officials to lobby Congress or State legislatures. For example, you may not charge a grant for your costs of sending information to Members of Congress to encourage them to take a particular action. Also prohibited are contacts with any government official or employee to influence a decision to sign or veto Federal or State legislation. The restriction does not address lobbying at the local level.

(4) Attempts to influence the introducing, passing, or changing of Federal or State legislation by preparing, using, or distributing publicity or propaganda, i.e., grass roots lobbying efforts to obtain group action by members of the public, including attempts to affect public opinion and encourage group action. For example, the costs of printing and distributing to members of the public or the media a report produced under a grant, if intended to influence legislation, are unallowable.[5]

(5) Attending legislative sessions or committee hearings, gathering information about legislation, and similar activities, when intended to support or prepare for unallowable lobbying.

Exceptions

There are three exceptions to this list of unallowable lobbying activities in Circulars A-21 and A-122. These exceptions do not necessarily make the cost of these activities allowable; they make the costs potentially allowable. Allowability will be determined based on whether the costs in a particular case are reasonable, necessary, and allocable to the grant.

The first exception is for technical and factual (not advocacy) presentation to Congress, a State legislature, member, or staff, on a topic directly related to performance of the grant, in response to a request (not necessarily in writing) from the legislative body or individual. For requests that are not made in writing, recipients should make a note for their files documenting the requests. The information presented must be readily available and deliverable. Costs for travel, hotels, and meals related to the presentation are generally unallowable unless related to testimony at a regularly scheduled Congressional hearing at the written request of the chairperson or ranking minority member of the congressional committee.

\5\ Circular A-122 addresses public information service costs that do not relate to lobbying. Attachment B to the Circular, at paragraph 36, makes allowable, with prior approval of the Federal agency, costs associated with pamphlets, news releases and other forms of information services if their purpose is: to inform or instruct individuals, groups or the general public; to interest individuals or groups in participating in a service program of the recipient; or to disseminate the results of sponsored and non-sponsored activities.

Appendix C GUIDANCE ON LOBBYING RESTRICTIONS

The second exception is for actions intended to influence State legislation in order to directly reduce the actual cost of performing the Federal grant project or to protect the recipient's authority to perform the project. The exception does not apply to actions intended merely to shift costs from one source to another. For example, in response to Federal funding cutbacks, a Federally-funded recipient lobbies for State funds to replace or reduce the Federal share of project costs for next year. The cost of that lobbying activity would not be allowable because its purpose is not to directly reduce the actual cost of performing the work but merely to shift from Federal funding to State funding.

Finally, Circulars A-21 and A-122 allow lobbying costs if they are specifically authorized by law.

Indirect Cost Rate

When you seek reimbursement for indirect costs (overhead), you must identify your total lobbying costs in your indirect cost rate proposal so that the Government can avoid subsidizing lobbying. This is consistent with the circulars' requirement of disclosure of the costs spent on all unallowable activities. This requirement is necessary so that when the Government calculates the amount of an organization's indirect costs that it will pay. It does not include the costs of unallowable activities that the organization happens to count as indirect costs

Enforcement

In cases of improper lobbying with grant funds, EPA may recover the misspent money, suspend or terminate the grant, and take action to prevent the recipient from receiving any Federal grants for a certain period. Your project officer is available to handle any questions or concerns.

Appendix D Tips on preparing an Environmental Justice Grant Application

This information is intended to help you put together a competitive proposal for the Environmental Protection Agency's (EPA) Environmental Justice Small Grants Program. *Please read the Application Guidance carefully -- this document is intended to enhance not replace the official FY 02 Guidance.*

- **Target your audience carefully**

Identify a specific group or community to work with to develop a program that will give the highest return for your dollars invested.

- **Build partnerships and alliances**

You are strongly encouraged to enlist project involvement from community groups with similar or related goals and secure their commitment of services and/or dollars. Be sure to document this by obtaining letter(s) of commitment for your application. Initiate the partnerships early in your planning, since building alliances can take time and effort.

- **Do some homework**

Allow time to review the literature on environmental justice issues both within EPA and the community you work in or with. Find out what materials exist on the subject and the procedures you are planning to include in your work plan. Use this information to back up your project plans or to explain how your group activities are unique and/or creative.

- **Develop a project evaluation technique**

Define as carefully and precisely as possible what you want to achieve with this project and how you will test its success. Ask yourself: "what do you expect to be different once the project is complete?" Outline a plan you will use to measure the success of your activities/project.

- **Develop a timeline or project accomplishment schedule**

List the major tasks that you will complete to meet the goals of the project. Break these broad goals into smaller tasks and lay them out in a schedule over the twelve months of the grant period. Determine and identify in the proposal the total estimated cost for each task. You may estimate this cost by the number of personnel, materials, and other resources you will need to carry out the tasks.

- **Develop a project budget with the federal portion up to *$15,000 for non-Superfund or $20,000 for Superfund projects***

The EPA portion of this grant should not exceed $15,000 for non-Superfund or $20,000 for Superfund projects. Divide your budget into categories such as personnel salaries/fringe benefits, travel, equipment, supplies, contract costs, other.

Appendix D Tips on preparing an Environmental Justice Grant Application

- **Stay within the format**

This makes it easier for the reviewer to read and therefore, understand your work plan. Please refer to the application requirements (pages 7 - 9).

- **Communicate the nature of your project accurately, precisely, and concisely.**

Describe exactly what you propose to do, how you are going to do it, when you are going to do it, who will benefit, and how you will know you are successful. Indicate not only what you propose but what expertise your group has for completing the project (include resumes).

EVALUATION OF YOUR PROPOSAL

Your proposal will be evaluated by a committee of EPA Headquarters and Regional environmental justice personnel of diverse personal and professional backgrounds. Final selection is based on a variety of factors, including geographic and socioeconomic balance, diversity, cost of the project and how well the partnership benefits can be sustained after the grant is completed. Below are some common strengths and weaknesses we see in proposals.

COMMON STRENGTHS

- Project proposal developed solidly from within the community.
- Broad based community support for a project that has the potential to positively affect local people.
- **Project identifies established community advisory board or community group who will be involved in the project.**
- Good partnership with industry, community, and environmental groups. Good coordination with a variety of community groups.
- Proposal does a good job of outlining a complex problem and approach to solving it -- does not overlook any major issues or key players.
- Clear identification and background description of population to be served.
- Proposal identifies specific outputs, target accomplishments, and estimated budgets for each goal, and target dates for completion.
- Proposed project builds on existing projects or programs.
- The scope of the project can be completed in a funding year.
- Proposal clearly describes how the project will achieve the program goal(s) outlined on pages 5 and 6 of the application guidance.
- Proposal includes innovative ideas and creative thinking about how to motivate and involve youth in the communities where they live.
- Proposal includes honest discussion of challenges involved.
  If applying for a Superfund project, the proposal discusses why their project is for "research" to assure it meets statutory requirements.

Appendix D Tips on preparing an Environmental Justice Grant Application

COMMON WEAKNESSES

- Application did not include information specifically requested in the application guidance.
- Community members do not appear to be an integral part of the project planning process.
- Not specific enough about what EPA funds will be used for. If the proposal is for a project that has a budget of more than $20,000, proposal must indicate whether other funding has been secured.
- Applicant is not a non-profit organization (see application guidance page 3).
- Program may be too ambitious for one year.
- Project funds conferences or dialogues to discuss EJ issues but does not fund activities that make direct changes in a community.
- Immediacy of need is not established.
- Methods of evaluating the success of the project unclear.
- Failure to mention other groups that applicant will work with or to secure letters of commitment.
- Proposal seeks support for developing general environmental program with little mention of environmental justice issues. The link between goals of EPA's environmental justice program and the project is not clearly stated.
- Discussion of overall mission and goals of the organization but not enough detail on how the specific project and activities will help achieve the goals.

If you are seeking other sources of funding for your project, or should your EPA application not receive funding, the document below could prove useful:

Grant Funding For Your Environmental Education Program: Strategies and Options

Prepared by The North American Association for Environmental Education in cooperation with U.S.EPA. Available for $5.00 from NAAEE, Publications Office, P.O. Box 400, Troy, OH 45373

Appendix E *State Single Points of Contact*

Your application to this EPA program may be subject to your state's inter-governmental review process and/or consultation requirements under Section 204, Demonstration Cities and Metropolitan Development Act. Listed below are the Single Point-of-Contacts for the states and U.S. territories with a designated Single Point-of-Contact. Please check the list to see if such review is required in your state or territory. Those stated and U.S. territories that are not listed do not have an established single point-of-contact. For further information regarding Single Points-of-Contact, please call EPA at 202-564-5362. *Please also note that federally recognized tribal organizations are not required to comply with this procedure.*

ARIZONA
Ms. Joni Saad
Arizona State Clearinghouse
3800 North Central Avenue
Fourteenth Floor
Phoenix, AZ 85012
Phone: 602.280.1315
Fax: 602.280.8144

ARKANSAS
Mr. Tracy L. Copeland, Manager
State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 West Seventh Street, Room 412
Little Rock, AR 72203
Phone: 501.682.1074
Fax: 501.682.5206
tlcopeland@dfa.state.ar.us

CALIFORNIA
Grants Coordinator
Office of Planning and Research
1400 Tenth Street, Room 121
Sacramento, CA 95814
Phone: 916.323.7480
Fax: 916.323.3018

DELAWARE
Charles H. Hopkins
Executive Department
Office of Budget
540 S. Dupont Highway, 3rd Floor
Dover, DE 19901
Phone: 302.739.3323
Fax: 302.739.5661
chopkins@state.de.us

DISTRICT OF COLUMBIA
Luisa Montero-Diaz
Office of Partnerships and Grants Development
Executive Office of the Mayor
District of Columbia Government
441 4th Street, NW, Suite 530 South
Washington, D.C. 20001
Phone: 202.727.8900
Fax: 202.727.1652
opgd.eom@dc.gov

FLORIDA
Jasmine Raffington
Florida State Clearinghouse
Department of Community Affairs
2555 Shumard Oak Blvd.
Tallahassee, FL 32399-2100
Phone: 850..922.5438
Fax: 850.414.0479
clearinghouse@dca.state.fl.us

GEORGIA
Mr. Tom Reid, III, Coordinator
Georgia State Clearinghouse
270 Washington Street, SW, Eighth Floor
Atlanta, GA 30334
Phone: 404.656.3855
Fax: 404.656.7901
gach@mail.opb.state.ga.us

ILLINOIS

Ms. Virginia Bova
Single Point of Contact
Department of Commerce and Community Affairs
James R. Thompson Center
100 West Randolph, Suite 3-400
Chicago, IL 60601
Phone: 312.814.6028
Fax: 312.814.8485
vbova@commerce.state.il.us

INDIANA
Ms. Frances E. Williams
State Budget Analyst
212 State House
Indianapolis, IN 46204
Phone: 317.232.5619
Fax: 317.233.3323

IOWA
Mr. Steven R. McCann
Division for Community and Rural Development
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, IA 50309
Phone: 515.242.4719
Fax: 515.242.4809
steve.mccann@ided.state.ia.us

KENTUCKY
Mr. Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capital Center Drive, Suite 340
Frankfort, KY 40601-8204
Phone: 502.573.2382
Fax: 502.573.2512
ron.cook@mail.state.ky.us

LOUISIANA
Ms. Theresa Stevens
Executive Management Officer
Louisiana Department of Environmental Quality
P.O. Box 82231
Baton Rouge, LA 70884-2231
Phone: 225.7655.0733

MAINE
Ms. Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
Phone: 207.284.3261
Fax: 207.284.6489
joyce.benson@state.me.us

MARYLAND
Linda Janey, Manager
Clearinghouse and Plan Review Unit
Maryland Office of Planning
301 West Preston Street, Room 1104
Baltimore, MD 21201-2305
Phone: 410.767.4490
Fax: 410.767.4480
linda@mail.op.state.md.us

MICHIGAN
Mr. Richard Pfaff
Southeast Michigan Council of Governments
535 Griswold, Suite 300
Detroit, MI 48226
Phone: 313.961.4266
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pfaff@semocog.org

MISSISSIPPI
Ms. Cathy Mallette, Clearinghouse Officer
Department of Finance and Administration
1301 Woolfolk Building, Suite E
501 North West Street
Jackson, MS 39201
Phone: 601.359.6762
Fax: 601.359.6758

MISSOURI
Ewell Lawson
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Truman Building, Room 840
Jefferson City, MO 65102
Phone: 573.751.4834
Fax: 573.522.4395
igr@mail.oa.state.mo.us

NEVADA
Heather Elliott
Department of Administration
State Clearinghouse
209 E. Musser Street, Room 200
Carson City, NV 89701
Phone: 775.684.0209
Fax: 775.684.0260
helliott@govmail.state.nv.us

NEW HAMPSHIRE
Mr. Jeffery H. Taylor, Director
New Hampshire Office of State Planning
Attn: Intergovernmental Review Process
2 ½ Beacon Street
Concord, NH 03301
Phone: 603.271.2155
Fax: 603.271.1728
jtaylor@oosp.state.nh.us

NEW MEXICO
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Santa Fe, NM 87503
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Fax: 505.827.4948
khughes@dfa.state.nm.us

NEW YORK
New York State Clearinghouse
Division of the Budget
State Capital
Albany, NY 12224
Phone: 518.474.1605
Fax: 518.486.5617

NORTH CAROLINA
Jeanette Furney
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RHODE ISLAND
Kevin Nelson
Department of Administration
Statewide Planning Program
One Capitol Hill
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Phone: 401.222.2093
Fax: 401.222.2083
knelson@doa.state.ri.us

SOUTH CAROLINA
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Budget and Control Board
Office of State Budget
1122 Ladies Street, 12th Floor
Columbia, SC 29201
Phone: 803.734.0494
Fax: 803.734.0645
aburgess@budget.state.s.us

TEXAS
Denise S. Francis
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Governor's Office of Budget and Planning
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UTAH
Carolyn Wright
Utah State Clearinghouse
Governor's Office of Planning and Budget
State Capitol, Room 114
Salt Lake City, UT 84114
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cwright@gov.state.ut.us

WEST VIRGINIA
Fred Cutlip, Director
Community Development Division
West Virginia Development Office
Building #6, Room 553
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Phone: 304.558.4010
Fax: 304.552.3248
fcutlip@wvdo.org

WISCONSIN
Jeff Smith
Section Chief, Federal/State Relations
Wisconsin Department of Administration
101 East Wilson Street - 6th Floor
P.O. Box 7868
Madison, WI 53707
Phone: 608.266.0267
Fax: 608.267.6931
jeffrey.smith@doa.state.wi.us

AMERICAN SAMOA
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Office of the Governor/Department of Commerce
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GUAM
Director
Bureau of Budget and Management Research
Office of the Governor
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Agana, Guam 96910
Phone: 011.671.472.2285
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jer@ns.gov.gu

PUERTO RICO
Jose Caballero/Myra Silva
Puerto Rico Planning Board
Fedral Proposal Review Office
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-1119
Phone: 787.723.6190
Fax: 787.722.6783

NORTH MARIANA ISLANDS
Ms. Jacoba T. Seman
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omb.jseman@saipan.com

VIRGIN ISLANDS
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#41 Norre Gade Emancipation Garden Station
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Phone: 340.774.0750
Fax: 340.776.0069
Irmills@usvi.org

Appendix F

ADDITIONAL GOVERNMENT APPLICATION FORMS

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statues relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination of the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuance to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S. C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

U.S. Environmental Protection Agency

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining. attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement. theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal. State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to $10,000 or imprisonment for up to 5 years, or both.

_____

Typed Name & Title of Authorized Representative

_____

Signature of Authorized Representative Date

____ I am unable to certify to the above statements. My explanation is attached.