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Office of Solid Waste and Emergency Response

EPA

# Superfund Technical Assistance Grant (TAG) Handbook:

## Applying For Your Grant

# BASIC REQUIREMENTS FOR APPLYING FOR A TECHNICAL ASSISTANCE GRANT

## THE TAG PROGRAM

Community involvement is an important part of the Environmental Protection Agency's (EPA) efforts under the Superfund Program to respond to risks associated with the nation's worst hazardous waste sites. The Technical Assistance Grant (TAG) Program provides funds for qualified citizens' groups affected by a Superfund site to hire independent technical advisors to help interpret and comment on site-related information. This booklet explains the basic program requirements that your group must meet to be eligible for a TAG and to successfully complete a TAG application. The TAG Program is governed by certain regulations, which are paraphrased throughout this booklet. It is important that you clearly understand these requirements and how they apply to the TAG Program. If you wish, you may refer to the full text, recorded in the *Code of Federal Regulations* (CFR), Parts 30, 33, and 35, subpart M. The full text is available from your library and your Regional TAG Coordinator.

## THE SUPERFUND CLEANUP PROCESS

The Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), commonly known as "Superfund," provides the nation with its principal means of cleaning up hazardous waste sites that EPA has placed, or proposes to place, on the National Priorities List (NPL). The NPL is the list of the nation's most serious hazardous waste sites. Milestones in the cleanup process include the following:

- Upon identification of a potentially contaminated site (**discovery**), EPA determines whether the site poses an immediate threat to human health or the environment that warrants immediate "removal" action. If a contamination problem exists but does not pose immediate danger to the community, EPA conducts a **Preliminary Assessment/Site Inspection** (PA/SI) to determine whether the site should be placed on the NPL.
- Once a site is listed, EPA conducts detailed technical studies on the

**Milestones in the Superfund Process**

- Discovery
- PA/SI
- RI/FS
- ROD
- RD/RA
- Completion

nature and extent of the waste at the site. This examination of the site contamination and the identification of possible remedies is called a **Remedial Investigation/Feasibility Study** (RI/FS). This study outlines alternative methods of cleanup available and recommends the most suitable one. The **Record of Decision** (ROD), which is based on the documents that make up the RI/FS, identifies and explains the selected remedy.

- After signing a ROD, EPA begins the **Remedial Design** (RD) phase, adapting the remedy chosen to site-specific conditions. During **Remedial Action** (RA), EPA cleans up the site using the selected remedy. **Operation and Maintenance** activities may continue at the site for many years after the initial cleanup is completed.

TAGs are available at any time during the site cleanup process, but most opportunities for effective community involvement exist during the RI/FS (sometimes called the "pre-ROD stage"). This is the stage when most decisions about how to respond to site contamination are made and when your technical advisor will be most useful to the members of your group.

## BEGINNING THE PROCESS

The TAG process begins when a group of individuals affected by a Superfund site listed, or proposed for listing, on the NPL submits either a Letter of Intent (LOI) or a completed TAG application to its EPA Regional Office. EPA then notifies the community as a whole that an application is or will shortly be under review, giving other potential applicants 30 days to contact the original applicant to form a coalition and submit a single application.

**A Pre-Application Checklist**

- Is the site listed, or proposed for listing, on the NPL?
- Has EPA's response action begun?
- Are you a group of residents or property owners who could be affected by the site?
- Have you contacted your Regional TAG Coordinator?

Since only one TAG may be awarded for a site, EPA encourages groups to consolidate in order to provide technical assistance to the most widely representative group of individuals affected by a site. If groups are unsuccessful in forming a coalition, each has an additional 30 days to prepare its own application.

This booklet is intended for groups of potentially affected individuals who have decided to apply for a TAG and

who may have sent EPA an LOI stating this. If you have not sent in an LOI, you may do so, although a completed application also serves that purpose.

To make the best use of your time, you should be certain that your group is eligible to receive a TAG before beginning the application process. If you are unsure, you should contact your Regional TAG Coordinator before proceeding (see inside cover).

## MAKING SURE YOUR GROUP IS ELIGIBLE

Your group is eligible to receive a TAG if it is a group of individuals potentially affected by a hazardous waste site that is either listed or proposed for listing on the NPL. In addition, EPA must have started its response action at the site. **The response action begins when EPA sets aside funds for site cleanup.** Your Regional TAG Coordinator can tell you whether the response action has begun.

While someone **representing** an ineligible group **cannot** belong to an eligible group, that person acting as an "affected individual" may be a member. For example, your mayor could not be a member of your group if he/she did so as a representative of your local government, but could participate as a private individual if he/she was affected by the site. Contact your Regional TAG Coordinator for help in determining your group's eligibility.

### Incorporating

To be eligible to receive a grant for a site, your group must be incorporated as a nonprofit organization for the purpose of addressing that Superfund site. Incorporation can protect the individual members of your group from potentially serious personal liability problems. Incorporation costs are reimbursable with TAG funds if your group receives a TAG.

If your group is already incorporated for another purpose, it must be reincorporated for the purposes of the TAG Program, unless you can show that your group or group members have been significantly involved with issues related to the site. If your group would be eligible except that it is not

**Your group is INELIGIBLE for a TAG if it is:**

- Potentially responsible for contamination problems at the site.
- An academic institution.
- A political subdivision (such as a township or municipality).
- A group established or sustained by governmental entities, a PRP, or any ineligible entity.

incorporated, you still may submit an application. However, if your group is awarded the grant, you must be able to prove both of the following:

- Your group has filed for incorporation by the time of the grant award.
- Your group has been incorporated by the time you submit your first request for reimbursement.

By planning the incorporation process to coincide with the application process, your group will avoid incurring incorporation costs until after you find out if your application is approvable. Be sure to state this in your application if this is what your group plans to do.

Some groups find it desirable to apply for tax-exempt status at the same time that they incorporate. When you have tax-exempt status, individuals can make tax-deductible cash donations to your group. TAG funds may be used to cover the additional costs involved.

## DEMONSTRATING YOUR GROUP'S CAPABILITIES

As a TAG applicant, your group must demonstrate its capability to adequately and responsibly manage the grant. In general, you must demonstrate that your group has established, or has plans for establishing, reliable procedures for managing a TAG.

**EPA will evaluate your group's ability to:**

- Meet project deadlines.
- Maintain adequate accounting and auditing procedures.
- Raise contributions.
- Comply with civil rights and equal employment laws.

## MEETING YOUR FINANCIAL REQUIREMENTS

As specified in the 1986 amendments to the Superfund law, initial TAG awards are limited to $50,000 per site. In addition, these amendments require recipient groups to contribute, or "match," 20 percent of the total project costs.

### Twenty Percent Matching Funds Requirement

As part of the TAG agreement with EPA, your group must provide 20 percent of the total costs of the technical assistance project. For example, your group must add $12,500 to match an EPA grant of $50,000 (20 percent of the total project costs of $62,500). Twenty percent may seem like a lot; however, in recognition of the value of your group members' skills and time, the TAG Program allows you to count the value of volunteered services and contributions of supplies toward the required match, as well as cash that the group spends on products or

services. Volunteered services and donated supplies used toward your match are called "in-kind contributions."

### In-Kind Contributions

In-kind contributions are non-cash contributions to the project. Examples of in-kind contributions include:

- Volunteered services, such as:
  - — A bookkeeper's maintenance of your group's financial records and preparation of required financial reports.
  - — An auditor's review of your group's financial records.
  - — A lawyer's aid in drafting a contract for your technical advisor(s).
  - — Your project manager's oversight of contracts.
  - — A group member's efforts to produce a group newsletter.
  - — The time spent by group representatives (such as Board Members) attending site-related meetings.
- Donated supplies, such as:
  - — Use of equipment (such as a computer or copier) and office space.
  - — Office supplies (such as paper and pencils).
  - — Photocopying, printing, and postage.
  - — Telephone calls.
  - — Meeting space.
- Other costs in your TAG application that are approved by EPA.

In-kind contributions must be documented in your records and approved by your EPA Regional Office. Rates for volunteer services must be consistent with rates in your community for similar services, and may not include fringe benefits, overhead, or profit. Your Regional TAG Coordinator can assist you in determining the eligibility and value of in-kind contributions.

### Waivers of the Matching Funds Requirement

Because in-kind contributions can be counted toward your group's 20 percent match, EPA will waive all or part of the matching funds requirement only under unusual circumstances. EPA can allow waivers only at sites where the Record of Decision (ROD) has not yet been signed for the last operable unit at the site.

To request a waiver, include a written statement describing your group's reasons in your application package.

**To obtain a waiver, you must demonstrate that:**

- The full match would be an unusual financial hardship (demonstrated by conditions such as below-average income or a high unemployment rate in your area).
- Your group's good faith effort at raising the match or in-kind contributions has failed.
- The waiver is necessary to ensure public participation in the site cleanup decision.

### The Administrative Cap

To ensure that TAG funds are used primarily for their intended purpose—the interpretation and communication of site-related technical data to the affected community—administrative costs, such as recordkeeping and accounting activities, may comprise only 20 percent of the total TAG budget. The total budget includes federal funds and your group's matching share.

## IDENTIFYING ELIGIBLE ACTIVITIES

Eligible activities are those that can be carried out with TAG funds. Questions concerning activities suitable for technical assistance should be directed to your Regional TAG Coordinator. The term "contractor" refers to any people or companies you hire (enter into a contract with).

### Eligible Activities

The purpose of a TAG is to assist groups in obtaining technical assistance in interpreting site-related documents and other activities that would contribute to the public's understanding of overall site conditions and decisions. To obtain this assistance, your group should hire a technical advisor. The TAG project manager or Board of Directors should provide direction and oversight of contractors' activities.

**Suitable technical advisor activities include:**

- Reviewing/interpreting site-related documents.
- Meeting with you to explain technical information.
- Providing assistance to your group in communicating the group's site-related concerns to EPA.
- Communicating the contents of the technical advisor's reports to the community.
- Participating in site visits to gain a better understanding of cleanup activities.
- Traveling to meetings and hearings directly related to the situation at the site.
- Participating in health and safety training.

The exhibit on page 7 suggests a number of points in the cleanup process when your technical advisor's involvement may be particularly useful. When you fill out the grant application, you will be asked to estimate the amount of document review time needed by your technical advisor. You are encouraged to discuss with your Regional TAG Coordinator projected tasks for your advisor and how these tasks may be affected by site-specific circumstances.

Eligible activities also include hiring someone with the necessary skills to help your group manage the grant (within the constraints of the 20 percent cap on administrative costs).

## Exhibit
## Tasks for Which a Technical Advisor May Be Useful

**Removal:**
— Reviewing public documents generated during the removal process.

**Preliminary Assessment/Site Inspection:**
— Reviewing Preliminary Assessment/Site Investigation (PA/SI) data that led to the site's listing.

**Remedial Investigation/Feasibility Study:**
— Participating in informal meetings with your group, prior to the Remedial Investigation/Feasibility Study (RI/FS), to explain what is known about the nature of the problems at the site based on the PA/SI data.
— Reviewing selected technical documents, including the RI/FS report, produced during the RI/FS.
— Participating in public meetings to help clarify information about site conditions and how the RI/FS will address these conditions.
— Interpreting results of the RI/FS report once it is available for public review. Explaining the range of alternatives under consideration. Identifying the differences among the remedial alternatives with respect to the group's preferences.
— Reviewing or assisting in preparing the group's public comments on the RI/FS report.
— Explaining the lead and supporting agencies' recommended remedial action (RA) presented in the proposed plan for the site.

**Remedial Design/Remedial Action:**
— Explaining the lead and supporting agencies' remedial action decision present in the Record of Decision (ROD) for the site.
— Reviewing the remedial design (RD) to ensure that your group's concerns are addressed.
— Visiting the site vicinity periodically during the RA, if possible, to observe the progress of construction activities and to provide a technical update to the group members.
— Reviewing the final inspection/certification report and final technical report because any concerns over construction activities must be raised prior to EPA's acceptance of the completed project.

**Operation and Maintenance:**
— Reviewing the operation and maintenance plan and close-out reports for the group.

### Ineligible Activities

Grant funds may **not** be used to finance the following activities:

- Political and lobbying activities.
- Any tuition or other expenses for group members to attend training, seminars, or courses.
- Generation of new primary data, such as well drilling and testing (including split sampling).
- Challenging final EPA decisions (such as RODs), unless EPA has formally reopened such a decision for comment.
- Any activities or expenditures for group members' travel.
- Litigation or underwriting legal actions, such as paying attorneys or technical advisors to participate in any legal action or proceeding regarding or affecting the site.
- Activities inconsistent with the cost principles stated in OMB Circular A-122, "Cost Principles for Non-Profit Organizations."

Although the above activities cannot be funded with TAG funds, members of your group may be able to undertake them by using other funds (so long as those funds are not used to meet the matching requirement).

**Suitable grant administrator activities include:**

- Helping to prepare the "Solicitation" used to hire your advisor.
- Preparing solicitation packages for prospective contractors.
- Placing public notices.
- Preparing contracts.
- Preparing financial and progress reports.
- Preparing amendments and continuation applications.
- Tracking expenses.
- Submitting payment vouchers.
- Taking meeting notes.
- Acting as the group contact with the EPA Regional Office.

## THE TAG APPLICATION

The following discussion provides a basic orientation to the structure, organization, and timing of the application. In addition, it suggests steps you should take **before** filling out the application.

### Overview of the Application Forms

The application form required for the TAG Program is entitled, "Application for Federal Assistance" [EPA Standard Form (SF) 424]. As the name implies, it is a grant application form used for many grant programs besides the TAG Program. The basic application form consists of four parts:

- General Information, Signature, and Certification (SF 424).
- *Budget Information* (SF 424A).
- Assurances (SF 424B).
- Project Narrative Statement (Applicant Qualifications and the Statement of Work).

Your group also must complete a form entitled "Certification Regarding Debarment, Suspension, and Other Responsibility Matters" (EPA Form 5700-49) if you are applying for a grant of $25,000 or more. This form represents your group's assurance that it has not been disqualified from engaging in transactions with the federal government.

To aid you in completing your application, step-by-step instructions and a sample version specific to the TAG Program are available along with the blank forms. If you have questions on the TAG Program requirements or how to complete the forms, contact your Regional TAG Coordinator.

### Consolidating

If you are aware of other groups in your community planning to apply for a TAG at the same site, you are strongly encouraged to consolidate your groups and applications into one. If there is more than one qualified applicant and the groups cannot consolidate, EPA will award the grant to the single most appropriate applicant, based on EPA's evaluation of each application and any additional information requested from the groups. Everyone benefits if groups form a coalition that most broadly represents the affected community.

### Planning and Scheduling Activities

Typically, a TAG is planned and awarded for a three-year budget period. However, the cleanup process at Superfund sites generally takes longer than three years. If you have funds left at the end of the first budget period and wish to continue your involvement at the site, you can submit a "continuation application" to EPA prior to the expiration of that period. If, however, at the end of the first budget period, your group is out of money and feels that it needs more money for informed participation in site-related issues, you can apply for additional funds.

### Getting Ready

Before filling out a TAG application, you should contact the EPA Remedial Project Manager for the site to obtain information about the planned schedule for site activities. This information will help you plan the tasks you would like to have your technical advisor(s) perform. Keep in mind, however, that site activity schedules are subject to change.

**Only one TAG is available at each Superfund site**

## INTERGOVERNMENTAL REVIEW

All grants are subject to intergovernmental review. This means that, if the state requires it, you must provide it with an opportunity to review your grant application so that your Governor can stay informed about the variety of grants awarded within your state. State requirements regarding this review vary, so you should call your state's intergovernmental review contact to find out the procedure to follow. Typically, you will need to submit a copy of your grant application to that contact, who will distribute it to interested reviewers. Reviewers may or may not ask you to make minor changes in your application if, for example, it affects state programs. Your Regional TAG Coordinator can give you the contact's name and telephone number for your state.

**Determining state requirements should be one of the first things you do in preparing your application.**

States may require up to 60 days for the intergovernmental review process. EPA cannot process your application package without evidence that you have submitted the application to the state reviewers, if necessary. EPA cannot award a grant until the state has completed its intergovernmental review, as indicated in Item 16 of your application form.

## SUBMITTING YOUR GRANT APPLICATION

Completed grant application packages must be submitted to the EPA Regional Office overseeing cleanup activities at your site. You must submit the original application package and two copies. The primary application must have the original signature of your group's project manager (the person your group authorizes to certify your group's compliance with EPA's regulations).

EPA will review and evaluate each application received. You may be asked to revise your application to clarify certain information or to adequately demonstrate that you have complied with the regulations governing the TAG Program.

You should be aware that, in general, the information supplied by groups is not considered confidential. When EPA receives a grant application, the information on it becomes part of EPA's records and therefore is subject to public release under the Freedom of Information Act (5 U.S.C. 552).

## EPA EVALUATION OF THE GRANT APPLICATION

*To ensure that grants are awarded to the applicants most directly af*fected by the site, EPA has developed a process to evaluate the strengths and weaknesses of your application. EPA will review and score your application using the five evaluation criteria listed below:

1. The presence of an actual or potential health threat posed to group members by the site. This criterion can be met by establishing a demonstrable threat to members' health or a reasonable belief that the site poses a substantial threat to their health. (30 points)
2. The applicant best represents groups and individuals affected by the site. (20 points)
3. The identification of how the group plans to use the services of a technical advisor throughout the Superfund response action. (20 points)
4. The demonstrated intention and ability of the applicant to inform others in the community of the information provided by the technical advisor. (20 points)
5. The presence of an actual or potential economic threat or threat of an impaired use or enjoyment of the environment to group members that is caused by the site. This criterion can be met by establishing a demonstrable economic or environmental threat to group members or a reasonable belief that the site poses a substantial economic or environmental threat. (10 points)

The "Project Narrative Statement" section of your application is where you will demonstrate that your group meets these criteria. You need only supply a paragraph to address each of the above criteria. If EPA receives competing applications for one site, it will rank each against all other applications submitted for that TAG. EPA **may** contact you for clarification or additional information.

## EPA NOTIFICATION OF GRANT APPLICANTS

EPA will evaluate your application within 30 days of its receipt. Once it has reviewed your completed application, EPA will send you a written notice telling you whether any additional information or clarification is needed. If your application has been approved, EPA's Award Official will prepare, sign, and return to you a grant agreement, which your group's project manager also must sign.

The grant agreement specifies TAG budget and project periods, the federal share of project costs, the matching funds that your group will contribute, a description of the work to be accomplished, and any special conditions of the project. **Within three calendar weeks of receiving the**

**grant agreement, you must either sign and return the agreement to EPA or request that EPA extend the time for acceptance**—otherwise, the grant agreement may become null and void.

## ACCEPTING A GRANT AGREEMENT

EPA will set aside federal funds for the amount stated in the grant agreement as soon as the Award Official signs the grant agreement. You may not incur any costs until you and the EPA Award Official have signed the grant agreement, with the exception of the cost of incorporation.

By signing and accepting a grant agreement, you are promising to comply with all terms and conditions of the grant agreement, including any special conditions necessary to assure compliance with applicable EPA state laws, regulations, and policies. You are responsible for efficiently and effectively managing the project, completing the project according to the schedule and within budget, and meeting all monitoring and reporting requirements.

**When you receive your grant, note carefully the:**

- Dollar amount awarded.
- Project period shown on the first page.
- Approved budget.
- Non-federal percentage shown.
- Special conditions that may be included.

The terms of the grant, as well as the workplan and budget contained in your approved application, are legally binding. They may be changed only through a formal grant amendment. Other items may be changed in consultation with EPA. Contact your Regional TAG Coordinator if you have any questions.

# TAG APPLICATION CHECKLIST

- ❑ Submit a Letter of Intent (LOI).
- ❑ Read this booklet carefully.
- ❑ If your group knows of other groups planning to apply for a TAG at the site you are concerned about, try to form a coalition to submit one joint TAG application.
- ❑ If there is such a group, but you are unable to form a coalition, notify EPA that you will be submitting a separate application.
- ❑ Contact the appropriate state office to determine the intergovernmental review requirements for your state. DO THIS EARLY.
- ❑ Complete the grant application package:
  - — The grant application form, "Application for Federal Assistance" (EPA Standard Forms 424, 424A, 424B, and the Project Narrative Statement).
  - — Certification Regarding Debarment, Suspension, and Other Responsibility Matters," (EPA Form 5700-49), if your group seeks a grant of $25,000 or more.
  - — If you're applying for a waiver of the matching funds requirement, include the relevant information.
- ❑ Submit your application for intergovernmental review, if necessary.
- ❑ Send the original version and two copies of your completed and signed grant application to your EPA Regional Office while the intergovernmental review process is being completed.
- ❑ Upon notification that your group's application is approvable and prior to signing the grant agreement, file the appropriate documents for incorporation with the proper state agency, if you haven't done this already. Submit evidence that you have done so to EPA.
- ❑ Upon receipt of the grant agreement, sign and return it to EPA within three calendar weeks.

# NOTES

# GLOSSARY

NOTE: Underlined terms are defined elsewhere in the glossary.

Amendment:
See "Formal Amendment."

Applicant:
Any group of individuals that files an application for a Technical Assistance Grant (TAG).

**Application:**
A completed formal written request for a TAG that is submitted to EPA on EPA Standard Form 424, or to a state on its appropriate form.

**Award:**
The Technical Assistance Grant agreement signed by both EPA and the recipient.

**Award Official:**
The EPA official authorized to sign grant agreements.

**Budget:**
A financial plan for the spending of all federal and matching funds (including in-kind contributions) for a Technical Assistance Grant project, proposed by the applicant and approved by the Award Official.

**Budget Period:**
The length of time specified in a grant agreement during which the recipient may spend or obligate federal funds. The budget period may not exceed three years. A TAG project period may be comprised of several budget periods.

**Code of Federal Regulations (CFR):**
An annually revised modification of the rules published in the *Federal Register* by the executive departments and agencies of the federal government. The CFR is divided into 50 titles which represent broad areas subject to federal regulation. Actions by EPA are governed by Title 40 of the CFR.

**Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended:**
A federal law passed in 1980 and modified by the Superfund Amendments and Reauthorization Act of 1986 (SARA). Commonly know as Superfund, CERCLA is intended to protect human health and the environment.

**Continuation Application:**
Application for the extension of a grant agreement for an additional budget period beyond the date to which EPA agreed to fund a specific project. A continuation would be used at the end of each budget period; thus, several may be necessary for one project.

**Contract:**
A written agreement between the TAG recipient and another party (a contractor other than a public agency) for services or supplies necessary to complete the TAG project.

**Contractor:**
Any party (*i.e.*, technical advisor) to whom a recipient awards a contract.

**Debarment:**
An action taken by the Director, Grants Administration Division, U.S. EPA under federal regulations (40 CFR part 32) to deny an individual, organization, or unit of government the opportunity to participate in EPA grant agreements or to receive contracts.

**EPA:**
The U.S. Environmental Protection Agency. Where a state administers the Technical Assistance Grant Program, the term "EPA" may mean a state agency.

**EPA Regional Office:**
An EPA office located in one of the ten EPA Regions.

**Expenditure:**
The payment of a financial obligation, which involves issuing checks or spending cash. An example of an expenditure that might be made under a TAG would be paying a technical advisor for the time he/she spent reviewing a site feasibility study.

**Formal Amendment:**
A written modification of a grant agreement signed by both the award official and the authorized representative of the recipient.

**Grant Agreement:**
A legal document that transfers money to a recipient to accomplish the purpose of the Technical Assistance Grant project. It specifies budget and project periods, the federal and matching shares of eligible project costs, a description of the work to be accomplished, and any special conditions.

**Grant Administrator:**
A person hired by the recipient group to handle some or all of the tasks related to the administration of the TAG.

**Incorporation:**
To form a legal corporation. Incorporation protects the individual members of your group from potentially serious personal liability problems that could result if the grant is awarded to a group or organization that is not incorporated.

**In-Kind Contribution:**
The value of a non-cash contribution used to meet all or part of a recipient's matching funds requirement in accordance with 40 CFR 30.307(b). An in-kind contribution may consist of charges for equipment or the value of goods and services necessary to and directly benefiting the EPA-funded project and approved in your grant budget.

**Intergovernmental Review of Application:**
The applicant's state is provided the opportunity to review the grant application. This process is designed to inform appropriate state agencies about all applications for federal assistance funds that have been received from their jurisdiction.

**Letter of Intent (LOI):**
Letter used to advise EPA of a group's interest in applying for a TAG and to trigger EPA's formal process for notifying other interested parties that an application soon will be filed.

**Matching Funds:**
The portion of allowable project costs that a recipient must contribute toward completing the TAG project using in-kind contributions and/or cash contributions in non-federal funds (or federal funds, if expressly authorized by law).

**National Priorities List (NPL):**
EPA's list of the most serious hazardous waste sites identified for possible long-term remedial response. EPA is required to update the NPL and publish it in the Federal Register at least once a year.

**Nonprofit Organization:**
Any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations.

**Operable Unit:**
A response action taken as one part of an overall site response. A number of operable units can be used in the course of a site response.

**Potentially Responsible Party (PRP):**
Any individual(s) or company(ies) (such as owners, operators, transporters, or generators) potentially responsible under sections 106 or 107 of CERCLA for the contamination problems at a Superfund site.

**Project Manager:**
The person legally authorized to obligate the organization to the terms and conditions of EPA's regulations and the grant agreement. This person or their designee will serve as the principal contact with EPA.

**Project Period:**
The period of time specified in the grant agreement for completion of all project work. It may be composed of more than one budget period.

**Recipient:**
Any group of individuals that has been awarded a TAG.

**Record of Decision (ROD):**
The document identifying and explaining the selected remediation for the contamination problem at a Superfund site.

**Regional Technical Assistance Grant (TAG) Coordinator:**
The official designated in the grant agreement as EPA's TAG Program contact with the recipient. TAG Project Officers are responsible for monitoring the project.

**Removal:**
An immediate action taken over the short-term to address a release or threatened release of hazardous substances.

**Response Action:**
All activities undertaken to address the problems created by hazardous substances at a site. It begins when EPA, other federal agencies, states, or PRPs set aside funds for these activities. The document that formally guarantees funding during the coming fiscal year is EPA's annual Superfund Comprehensive Accomplishments Plan (SCAP).

**Split Sampling:**
Sending a sample (soil, water, etc.) to multiple laboratories for concurrent, independent analysis.

**Superfund:**
The common name used for the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA). Superfund was established by CERCLA to help pay for the cleanup of hazardous waste sites and to take legal action to force those responsible for the sites to clean them up.

**Technical Advisor:**
A person hired by a Technical Assistance Grant recipient to help affected groups and individuals interpret site-related documents regarding the nature of the hazard at the Superfund site for which the grant has been received.

**Technical Assistance Grant Project:**
The activities or tasks identified in the grant agreement that describe the technical assistance offered to the recipient.

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## CERTIFICATION REGARDING LOBBYING

## CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award of documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Typed Name and Title of Authorized Representative

Signature of Authorized Representative  Date

# BLANK APPLICATION DOCUMENTS

These are the blank copies of each document you will need to fill out to complete your TAG application. While these are standard federal grant forms, EPA has developed instruction specifically for TAG applicants to use in completing these forms. Whenever questions on these forms call for standard answers by TAG applicants, EPA has supplied the correct response to simplify the application process for you.

Documents you will find in this section include:

- Application for Federal Assistance.
  - — General Information, Signature, and Certification (SF 424)
  - — Budget Information (SF 424A)
  - — Assurances (SF 424B)
  - — Project Narrative Statement
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49).
- Drug Free Workplace Certification.
- Certification Regarding Lobbying.

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

| | | |
|---|---|---|
| 1. TYPE OF SUBMISSION: Application · Preapplication; ☐ Construction · ☐ Construction; ☒ Non-Construction · ☐ Non-Construction | 2. DATE SUBMITTED | Applicant Identifier |
| | 3. DATE RECEIVED BY STATE | State Application Identifier |
| | 4. DATE RECEIVED BY FEDERAL AGENCY | Federal Identifier |

**5. APPLICANT INFORMATION**

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

**6. EMPLOYER IDENTIFICATION NUMBER** *(EIN)*: ☐☐ - ☐☐☐☐☐☐☐

**7. TYPE OF APPLICANT:** *(enter appropriate letter in box)* N

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

**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:**

U.S. Environmental Protection Agency

**10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:**

66 - 806

TITLE: Superfund Technical Assistance Grant

**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**

**12. AREAS AFFECTED BY PROJECT** *(Cities, Counties, States, etc.)*:

| 13. PROPOSED PROJECT | | 14. CONGRESSIONAL DISTRICTS OF: | |
|---|---|---|---|
| Start Date | Ending Date | a. Applicant | b. Project |

**15. ESTIMATED FUNDING:**

| | | |
|---|---|---|
| a. Federal | $ | .00 |
| b. Applicant | $ | .00 |
| c. State | $ | .00 |
| d. Local | $ | .00 |
| e. Other | $ | .00 |
| f. Program Income | $ | .00 |
| g. TOTAL | $ | .00 |

**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 PROCESS 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. Type Name of Authorized Representative | b. Title | c. Telephone Number |
| d. Signature of Authorized Representative | | e. Date Signed |

OMB Approval No. 0348-0044

# BUDGET INFORMATION - Non-Construction Programs

## 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. Technical Assistance | 66-806 | $ | $ | $ | $ | $ |
| 2. Grant at: | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. Totals | | $ | $ | $ | $ | $ |

## SECTION B - BUDGET CATEGORIES

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

## SECTION C - NON-FEDERAL RESOURCES

| (a) Grant Program | (b) Applicant | (c) State | (d) Other Sources | (e) TOTALS |
|---|---|---|---|---|
| 8. Technical Assistance at: | $ | $ | $ | $ |
| 9. | | | | |
| 10. | | | | |
| 11. | | | | |
| 12. TOTAL (sum of lines 8 – 11) | $ | $ | $ | $ |

## SECTION D - FORCASTED CASH NEEDS

| | Total for 1st Year | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|---|---|---|---|---|---|
| 13. Federal | $ | $ | $ | $ | $ |
| 14. NonFederal | | | | | |
| 15. TOTAL (sum of lines 13 and 14) | $ | $ | $ | $ | $ |

## SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

| (a) Grant Program | FUTURE FUNDING PERIODS (Years) | | | |
|---|---|---|---|---|
| | (b) First | (c) Second | (d) Third | (e) Fourth |
| 16. Technical Assistance Grant at: | $ | $ | $ | $ |
| 17. | | | | |
| 18. | | | | |
| 19. | | | | |
| 20. TOTAL (sum of lines 16-19) | $ | $ | $ | $ |

## SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: NA

22. Indirect Charges: NA

23. Remarks:

# 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 project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of 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 statutes 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 race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U. S. C. §1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U. S. C. §794), 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 on 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, as applicable, with provisions 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 to 276a - 7), the Copeland Act (40 U.S.C. §§276c and 18 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 pursuant 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 pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains 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 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

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 |
|---|---|
| | |

*PROJECT NARRATIVE STATEMENT*

## Section 1 (Group Qualifications)

### A. Group Eligibility

1. Do any of the following categories apply to your group?_____ (yes/no) If the answer is yes, check the categories below that apply and provide a detailed explanation.

_____Are any members of your group potentially responsible parties (PRPs)?

_____Was your group established by a PRP?

_____Was/is your group sustained by a PRP?

_____Was your group established by, or is it presently sustained by, any of the following:

_____a corporation that is not incorporated for the specific purpose of representing affected individuals at the site?

_____an academic institution?

_____a political subdivision?

_____Does anyone in your group have financial involvement in a PRP (as other than an employee or contractor)?

2. How many members are in your group?_____ Is it made up of a coalition of groups? _____ (yes/no) If so, how many, and how did the groups come together? If not, how was your group formed?

## Section 1, cont.

**B. Responsibility Requirements**

1. **Administrative and Management Capabilities:** Please briefly describe the organizational structure of your group in the space below. (Describe roles and responsibilities of members, particularly members who will be responsible for financial management of the grant and directing the activities of the contractor.)

2. **Resources for Project Completion:** What resources are available to your group to help complete the TAG Project? (Include any plans that your group has for in-kind contributions or for fund-raising and obtaining cash.)

**Section 1, cont.**

3. **Performance Record:** Please describe your group's past performance with satisfactorily completing projects and contract. (If your group has no past experience, EPA will evaluate the description, budget, and schedule you provide in Section 2 of this application.)

4. **Accounting and Auditing Procedures:** What procedures does your group plan to use for recordkeeping and financial accountability related to the grant? Please identify the member of your group who will maintain your financial records.

## Section 1, cont.

5. **Incorporation:** Is your group incorporated specifically for the purpose of addressing problems at this site? _____ (yes/no) If not, what steps is your group taking to incorporate for grant-related purposes?

6. **Drug-Free Workplace Policy:** Does your group promise not to engage in illegal drug-related activities while carrying out activities using TAG funds? _____(yes/no)

### C. Group Issues and Objectives

1. **Health Considerations:** How many group members have experienced health effects from contamination at the site? _____ Describe actual or potential health threats the site poses to individual group members and the efforts members of your group have undertaken to resolve or make known these health concerns.

**Section 1, cont.**

2. **Consolidation/Representation:** Describe the number and diversity of affected community organizations and individuals represented by your group, highlighting the ways in which your group represents individuals affected by the site.

3. **Tasks for Technical Advisors:** Please describe how your group intends to use your technical advisor to interpret technical Superfund information.

4. **Information Sharing:** How does your group intend to share information collected with grant funds with the larger community?

## Section 1, cont.

5. **Economic/Environmental Considerations:** How many group members have experienced economic/environmental impacts from contamination at the site?

   _____ Please describe the actual or potential economic harm or loss of environmental amenities the site has imposed on individual group members, and efforts group members have undertaken to resolve or make known these concerns.

## Section 2 - Statement of Work for the Technical Advisor

**A. Statement of Work:** Please identify the technical advisor(s)' tasks for each phase of the Superfund process. For each of these phases, please note what the technical advisor will do, the estimated amount of time needed to complete each task, and specific documents, reports, or other tangible work products you expect the technical advisor to produce.

## Section 2, cont.

**B. Detailed Budget:** Prepare a budget for the technical assistance project. Indicate the tasks to be completed by the technical advisor, the estimated number of hours, and the cost for each task (including travel costs). Use footnotes to explain assumptions made in the budget (such as hourly rate of advisor or adjustments for inflation). This budget should identify everything that you expect to purchase with grant funds.

The budget should show the amount of the group's matching contribution separately from federal funds. Note that the grant funds (usually 80 percent) plus group contribution (usually 20 percent) must equal the total project costs; grant funds cannot exceed 80 percent of project costs for any budget period. In your statement, be sure that you differentiate cash expenditures from in-kind contributions. Also, include explanations of the assumptions made in calculating the value of in-kind contributions.

EPA

EPA Project Control Number

United States Environmental Protection Agency
Washington, DC 20460

# 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.

EPA Form 5700-49 (11-88)

Assistance Identification Number: _____

# CERTIFICATION — DRUG FREE WORKPLACE ACT OF 1988

The recipient certifies that it will provide a drug-free workplace by:

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the recipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) establishing a drug-free awareness program to inform employees about:
   (1) the dangers of drug abuse in the workplace;
   (2) the recipient's policy of maintaining a drug-free workplace;
   (3) any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee engaged in the performance of the project be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the award, the employee will:
   (1) abide by the terms of the statement; and
   (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such convictions;

(e) notifying the Award Official within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction;

(f) taking one of the following actions, with 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
   (1) taking appropriate personnel action against such an employee, up to and including termination; or
   (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

**The recipient shall insert in the space provided below the site(s) for performance of work done in connection with the specific award**

**Place of performance** (street address, city, county, state, zip code)

_____

_____

Typed Name and Title of Authorized Representative

_____

Signature of Authorized Representative  Date

_____