



Superfund Technical Assistance Grant (TAG) Handbook

Part 1

Applying for Your Technical Assistance Grant



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April 1990
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Preface

This handbook is designed to guide you through the entire Technical Assistance Grant (TAG) Program, from applying for the grant to selecting a technical advisor and managing your TAG project. The handbook explains federal policies, procedures, and regulations related to the TAG Program and provides detailed instructions on how to complete necessary grant forms.

You must begin by filing a Letter of Intent prior to applying for a TAG to notify the U.S. Environmental Protection Agency (EPA) of your interest in a grant and give other interested groups an opportunity to join with you in applying or to apply separately. You will find a sample Letter of Intent on page 1-37. This handbook is intended for those who have already submitted a Letter of Intent. If you have not done so, contact your EPA Regional Office for more information about this step. (Use the map in the accompanying pamphlet entitled "EPA Superfund Technical Assistance Grants" to determine the EPA Regional Office for your state.)

The handbook consists of three parts. Part 1 provides detailed guidance on applying for a TAG; Part 2 explains the process of selecting a technical advisor; and Part 3 contains comprehensive information on managing a TAG. Each of these parts can serve as a "stand-alone" booklet that addresses a particular, chronological step in the TAG Program.

In an effort to meet the needs of those affected by Superfund sites, the EPA Regional Offices have designed citizen outreach programs to assist groups of affected individuals interested in obtaining TAGs. Your EPA Regional Office is ready to answer any questions you may have by telephone or meet with you in person to provide as much help as possible. Although this process can be lengthy and does require a significant commitment from you, EPA believes that this is an extremely valuable program. You may want to talk with current TAG recipients as you are deciding whether you should apply. Your Regional Office should be able to provide contact names. (Telephone numbers and addresses of TAG Coordinators in the EPA Regional Offices can be found in the "References" section at the back of this handbook.)

Each of the three parts of this handbook contains all of the materials you need to complete the step that is being explained (including text, instructions for filling out the forms, key "do's and don'ts," commonly asked questions, sample completed forms, a checklist for review, and blank forms you will need to complete that step of the TAG Program). You should read all three parts before applying for the grant to help you understand everything that is involved in the process.

Also, because federal grant and procurement regulations govern the way in which EPA can award grants, grant applicants are encouraged to read the applicable regulations carefully. This handbook is provided to help you understand these regulations, but the regulations ultimately dictate how the TAG Program operates. Excerpts of relevant rules and regulations have been provided at the back of this handbook for your reference. The full texts of these regulations are available from EPA upon request, but also should be available at your local library.

Readers who would like to comment on the usefulness and clarity of this handbook are encouraged to send their comments to their EPA Regional TAG Coordinator or to:

TAG Coordinator
Mail Code OS-220
Office of Emergency and Remedial Response
U.S. Environmental Protection Agency
401 M Street, S.W.
Washington, D.C. 20460

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Introduction

If you are a member of a group of individuals affected by a Superfund site -- whether for economic, environmental, or health-related reasons -- your group may be eligible to apply for a Technical Assistance Grant (TAG). The U.S. Environmental Protection Agency (EPA) is able to award up to \$50,000 per site to an affected group of individuals to help the group obtain independent interpretations of site cleanup reports and studies. (Exhibit 1.A. on page 1-9 lists tasks for which a technical advisor may be useful.) The site must be on the National Priorities List (NPL) or proposed for listing, and EPA must have begun its response action at the site. The NPL is EPA's list of the most serious hazardous waste sites identified for possible long-term cleanup. This handbook explains how to apply for a TAG, select a technical advisor, and manage the grant.

Superfund and the Technical Assistance Grant Program

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 proposed to place, on the NPL. In cleaning up a Superfund site, EPA must conduct detailed technical studies of the nature and extent of the waste at the site, evaluate the methods available for cleaning up the contamination present, and design and implement the cleanup itself. (In some cases, a state or the party responsible for the contamination takes the lead in cleaning up the site under EPA supervision.)

Upon identification of a potentially-contaminated site, EPA determines whether the site poses an immediate threat to human health and 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** to determine whether the site should be placed on the NPL -- the list of the nation's most serious hazardous waste sites.

Once a site is listed, EPA examines the type and extent of contamination present at the site and identifies possible remedies through a **Remedial Investigation/Feasibility Study**. This study outlines alternative methods of cleanup available and recommends the one most suitable. The **Record of Decision (ROD)** identifies and explains the remedy selected.

After signing a ROD, EPA undertakes the **Remedial Design** phase, adapting the type of remedy chosen to site-specific conditions. **Remedial Action** is the phase in which EPA actually cleans up the site using the selected remedy. There typically continue to be **Operation and Maintenance** activities at the site for many years after the cleanup is completed.

For More Information On The Superfund Program

For more about the cleanup process for Superfund sites, see the pamphlet and fact sheet accompanying this handbook: "The New Superfund: What It Is, How It Works," and "Summary of Public Documents Prepared During the Remedial Process." Your EPA Regional Office can also provide additional information.

To help ensure that affected individuals are well informed about the conditions and activities at Superfund sites in their communities, Congress included the TAG Program in the 1986 amendments to the Superfund law. The TAG Program provides groups of individuals affected by such sites with grants to hire independent technical advisors who can help them understand technical information related to cleaning up these sites. One grant is available per site as long as the site is listed, or proposed for listing, on the NPL and EPA has begun its response action at the site.

While a Technical Assistance Grant provides communities with some of the resources necessary to hire technical advisors, obtaining these resources is only the first step in the TAG Program. It is up to grant recipients to define the most effective role for their technical advisors within the scope of federal grant regulations. Because site conditions can vary widely, recipients should carefully consider site-specific circumstances in deciding what kind of help they need and in determining how best to use their technical advisors. The EPA Regional Remedial Project Manager for the site is a good source of information about site-specific conditions. Your Regional TAG contact (see the "References" section of this handbook) can put you in touch with the Remedial Project Manager.

Key Elements of the TAG Program

This section provides a general description of the TAG Program. The rest of the handbook expands on this information as it guides you through the steps of obtaining and using a TAG. You should also read the regulations in the "References" section of this handbook and consult your EPA Regional Office if anything is unclear.

LETTER OF INTENT: The TAG process begins when a group of individuals affected by a Superfund site on the NPL (or proposed for listing on the NPL) submits a Letter of Intent to their EPA Regional Office. Such a letter notifies EPA of the group's interest in applying for a TAG. EPA then notifies the community as a whole that a grant for the site may soon be awarded, giving other potential applicants 30 days to contact the original applicant to form a coalition and submit a single application. If the groups are unsuccessful in forming a coalition, they then would have an additional 30 days to prepare separate applications. This handbook is designed to be read after you have submitted a Letter of Intent.

EPA encourages affected groups to consolidate because there is only one grant available per site, and EPA would prefer to provide technical assistance to the most widely representative group of individuals affected by a site. If the groups cannot form a single coalition, they should notify EPA immediately. If EPA receives more than one application for the site, EPA may ask each applicant for additional information beyond what is in the initial application to help EPA choose the most appropriate recipient.

GRANT APPLICATION: Applicants must submit a completed grant application, a procurement system certification form, and a debarment certification form to the appropriate EPA Regional Office. The grant application describes applicant qualifications, the projected tasks, and the schedule and budget for technical assistance activities. In the budget, applicants must demonstrate that they are able to provide 20 percent of the total project costs, either in in-kind services, such as volunteer labor (see Part 1 of this handbook), or in cash. By completing the procurement system certification form, the applicant agrees to comply with relevant federal government procedures for selecting technical advisors (described in Part 2 of this handbook). The debarment certification form represents your group's assurance that your group and its officers have not been disqualified from participating in federal transactions. Before submitting a TAG application to EPA, applicants must contact their designated state office (see the "References" section) to determine what, if any, steps they must take to comply with their state's inter-governmental review process.

Once you submit your application to EPA, the length of time EPA will require to review it will vary. EPA will notify each applicant group in writing as to whether its grant request has been accepted or disapproved. Part 1 of this handbook describes the application process in more detail.

SELECTING YOUR TECHNICAL ADVISOR: There are three basic methods of selecting a technical advisor if you receive a TAG. You may use the small purchase method if the contract with the advisor is for \$25,000 or less. For contracts involving more than \$25,000, competitive selection is the appropriate procedure. Noncompetitive selection can be used if there is only one qualified candidate for the position, but noncompetitive contracts over \$10,000 must be approved in advance by the EPA Award Official.

Many TAG recipients will use the competitive selection procedures. This approach requires recipients to maximize free and open competition for the contract(s). Typically, TAG recipients will publicize their need for assistance in a local newspaper, providing about 30 days for responses before the deadline for receipt of proposals. Those who inquire about your announcement should be given a solicitation. Your solicitation should describe the services you need and state the criteria by which you will evaluate proposals. You must then conduct a cost analysis for each proposal received, basing your selection on the criteria identified in your solicitation.

Once you select a technical advisor, you must develop a contract with the technical advisor. The contract must include the following elements: the nature, scope, and extent of work to be performed; the time-frame for the project; the total cost of the work to be performed; payment provisions; and model clauses. Procedures for selecting technical advisors are discussed more fully in Part 2 of this handbook, which also contains a sample contract.

MANAGING YOUR GRANT: To ensure that federal funds are managed responsibly, you must comply with certain recordkeeping and reporting requirements. These are discussed in detail in Part 3 of this handbook. Where grant-related forms call for standard information, EPA has filled in the information for you to simplify your paperwork.

You should, however, anticipate that some steps in the TAG application process will be more time-consuming than others. Your group may wish to identify and initiate these activities well in advance of required deadlines. Some of the more time-consuming steps in the process include: consolidating with other groups who may also be interested in applying for the single TAG available for the site in your community; identifying and securing in-kind services and/or funds for the matching contribution to total project costs; identifying potential technical advisors; developing budget tracking procedures; and setting up recordkeeping systems. Your EPA Regional Office will help you wherever possible.

Information On The TAG Program

You will find a detailed description of the TAG Program in a fact sheet entitled "EPA Superfund Technical Assistance Grants" accompanying this handbook.

Remember, before you fill out the TAG application, you must send a Letter of Intent to your EPA Regional Office. To determine which EPA Region you are in and the address of your EPA Regional Office, consult the "References" section at the end of this handbook. You are encouraged to telephone that office to discuss any questions you may have about the TAG Program and, more specifically, the application process. If your application is successful, your grant will be overseen by your EPA Regional Office. Therefore, you should work closely with that office in preparing your application.

Superfund Technical Assistance Grant (TAG) Handbook

Part 1

Applying for Your Technical Assistance Grant

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Introduction

If you are a member of a group of individuals affected by a Superfund site, your group may be eligible to apply for a Superfund Technical Assistance Grant (TAG). TAG funds enable groups of individuals affected by Superfund sites to select independent advisors to help interpret technical information related to the cleanup of sites in their communities.

Part 1 is the first of three "stand-alone" booklets in the Superfund Technical Assistance Grant (TAG) Handbook. Each booklet describes a different phase of the TAG Program. Part 1 explains how your group can apply for a TAG. Part 2 explains how to select a technical advisor if you receive a grant, and Part 3 provides grant management guidelines.

Each of the three major parts of this handbook contains all the information you will need to complete the phase of the TAG Program it addresses. Each part begins with its own table of contents showing the topics covered. Then you will find an explanation of the basic requirements of the U.S. Environmental Protection Agency (EPA) pertaining to the particular phase of the TAG Program discussed (such as the application phase for Part 1). You will find step-by-step instructions for completing documents and activities required in that phase of the Program, followed by key "do's and don'ts" to keep in mind as you carry out these instructions, as well as commonly asked questions. Sample completed documents needed for the phase are included to illustrate the type of information EPA seeks. A checklist of steps involved in meeting the requirements for the phase provides a review of material covered, and each part concludes with a set of blank documents your group can use to comply with federal requirements for that phase of the TAG Program.

Towards the end of the handbook, you will find a "References" section that includes a glossary, list of key contacts, and excerpts of the regulations applicable to the TAG Program. The final section of the handbook is an "Index" to assist you in locating key words and topics throughout the three parts.

Throughout the process of applying for a TAG, selecting a technical advisor, and managing your Technical Assistance Grant project, it will be to your advantage to work closely with your EPA Regional Office, since that office will oversee your project. Asking questions is likely to improve, rather than hurt, your chances of receiving the grant.

Part 1

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Basic Requirements For Applying For A Technical Assistance Grant

This section of Part 1 explains the basic TAG Program requirements that your group must meet to be eligible for a TAG and to successfully complete a TAG application. The application process is governed by grant and procurement (or selection) requirements in the Code of Federal Regulations (Parts 30, 33, and 35 Subpart M of Volume 40) and in Circular A-122, published by the U.S. Office of Management and Budget (OMB). It is important that you clearly understand these requirements and how they apply to the TAG Program. Relevant excerpts of these provisions, contained in the "References" section at the back of this handbook, are paraphrased in Part 1 below. If you wish, you may obtain the full text of the regulations from your EPA Regional Office or your library. (The "References" section also contains a list of EPA Regional contacts' addresses and telephone numbers.)

Before You Go On: A Pre-Application Checklist

This handbook is intended for groups of affected individuals who have already decided to apply for a TAG and have sent EPA a Letter of Intent stating this. To make the best use of your time, you should be able to answer "yes" to all of the following questions before beginning the application process described in Part 1.

- ☐ Is the site that you are concerned about listed, or proposed for listing, on the National Priorities List under the National Contingency Plan (NCP)?
- ☐ Has EPA's response action begun at the site?
- ☐ Have you contacted your EPA Regional Office for Region-specific TAG instructions?
- ☐ Have you filed a Letter of Intent with EPA?
- ☐ Are you a group of residents who are affected by the site? (**NOTE:** Academic institutions; political subdivisions established or sustained by a governmental entity; and/or an individual Potentially Responsible Party (PRP) or a group affiliated with a PRP are not eligible for TAG funds.)

If you answered "no" to any of the above questions, or are unsure, you should contact your EPA Regional Office before proceeding. If you answered "yes" to all of the above questions, read on to find out how to apply for your Technical Assistance Grant.

Making Sure Your Group Is Eligible

Your group is eligible to receive a TAG if you are a group of individuals affected by a hazardous waste site that is: (1) listed on the National Priorities List (NPL); or (2) proposed for listing. 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 EPA Regional Office can tell you whether the response action has begun.

Finally, your group must be incorporated. Ordinarily, you must be incorporated for the specific purpose of addressing the Superfund site for which the grant would be provided. However, your group may be incorporated for a broader purpose if it has developed a substantial history of involvement at the site. If your group would be eligible except that it is not incorporated and does not have a substantial history of involvement at the site, you may submit an application as long as you will incorporate by the time you submit your first request for reimbursement. Be sure to state in your application that this is what your group plans to do.

You are ineligible for a TAG if you are:

- An individual or company potentially responsible for the contamination problems at the site;
- An academic institution;
- A political subdivision (such as a township or municipality); or

- A group established and/or sustained by governmental entities or by any other ineligible entity (including emergency planning committees and some citizen advisory groups).

While individuals functioning as representatives of ineligible groups cannot be members of eligible groups, individuals who act solely in the capacity of "affected individuals" are eligible. 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 were affected by the site. Contact your EPA Regional Office for assistance in determining your group's eligibility.

Demonstrating Group Responsibility

As a TAG applicant, your group must demonstrate its ability to adequately manage the grant. EPA will evaluate your group's ability to: meet project deadlines; maintain adequate accounting and auditing procedures; raise in-kind contributions; and comply with civil rights and equal employment laws. In general, you must demonstrate that your group has established, or has plans for establishing, reliable procedures for record-keeping and maintaining financial accountability in managing a TAG. (See Part 3 for a discussion of the management of grant funds.)

Meeting Financial Requirements

As specified in the 1986 amendments to the Superfund law, initial TAG awards are limited to \$50,000 for a single site. In addition, these amendments require recipient groups to

contribute 20 percent of the total project costs, although this contribution need not be cash. However, it is possible to request a deviation from the grant ceiling and a waiver of the match requirement. These requirements are discussed in more detail below.

DEVIATION FROM THE \$50,000 GRANT LIMIT:

EPA will make initial awards of no more than \$50,000 to groups of affected individuals. However, to address sites that are so complex that a grant of \$50,000 will be inadequate, EPA will consider requests for additional funds once the initial award has been made, provided that the site has been listed on the NPL. (See Part 3 for more details.)

TWENTY PERCENT MATCHING FUNDS REQUIREMENT:

In order for your group to be awarded a TAG, 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's skills and time, the TAG Program allows you to count the value of volunteer services and contributions of supplies toward the required match. Volunteer 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 grant and can be included as part of your 20 percent match. In-kind contributions include:

- Volunteer services, such as accounting and editing;
- Equipment (such as a word processor or copier) and use of office space;

- Supplies (such as paper and pencils);
- Photocopying, printing, and postage;
- Telephone calls;
- Incorporation filing fees; and
- Other costs that are approved by EPA in your TAG application and that are related to the grant (such as telephone calls, postage, and copying).

All 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. Rates must not include fringe benefits, overhead, or profit. Volunteers must maintain timesheets in order to claim their services as in-kind contributions. Your EPA Regional Office will be happy to assist you in determining your 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 the matching funds requirement only under unusual circumstances. EPA can grant waivers, however, only at sites where the Record of Decision (ROD) has not yet been signed for the last operable unit at the site. To obtain a waiver of the match, your group can demonstrate that: (1) your group needs a waiver because providing the full match would constitute an unusual financial hardship as demonstrated by such measures as below average per capita income, below average median household income, or a high unemployment rate in your area; and (2) that your group's good faith

effort at raising the match or obtaining in-kind services has failed.

Incorporating

To receive a grant, you should be incorporated as a non-profit organization for the purpose of addressing the Superfund site for which the grant is provided. If your group is incorporated for some other purpose and has a substantial history of involvement at the site, you also may be eligible. Incorporation can protect the individual members of your group from potentially serious personal liability problems that could result if the grant were awarded to an unincorporated group or organization. Many groups find it desirable to also 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. The costs of incorporating can be paid for with TAG funds if you receive a grant. Your EPA Regional Office can give you more information about incorporating and applying for tax-exempt status.

Identifying Eligible Activities

This section describes activities that can and cannot be carried out with TAG funds. Questions concerning activities suitable for technical assistance should be directed to the appropriate EPA Regional contact.

ELIGIBLE ACTIVITIES: The purpose of the grant is to assist affected 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 activities.

Therefore, activities suitable for technical advisors include:

- Reviewing and interpreting site-related documents;
- Meeting with the recipient group to explain technical information;
- Providing assistance to the recipient 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, when possible, to gain a better understanding of cleanup activities; and
- Traveling to meetings, hearings, etc., directly related to the situation at the site.

Exhibit 1.A. 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 review time necessary for your technical advisor(s). You are encouraged to discuss with your EPA Regional Office projected tasks for your advisor and how these tasks may be affected by site-specific circumstances.

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

- Political and lobbying activities;
- Any activities or expenses related to travel by members of your group;

Exhibit 1.A.**TASKS FOR WHICH A TECHNICAL ADVISOR MAY BE USEFUL**

- Reviewing public documents generated during the removal process.
- Reviewing Preliminary Assessment/Site Investigation (PA/SI) data that led to the site's listing.
- 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 during the RI/FS 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. If the RI/FS report discusses possible remedial alternatives, 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 presented in the proposed plan for the site.
- Explaining the lead and supporting agencies' remedial action decision presented in the Record of Decision for the site.
- Reviewing the remedial design (RD) to ensure that your group's concerns are addressed.
- During remedial action (RA), visiting the site vicinity periodically to observe the progress of construction activities and to provide a technical update to your group's 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.

- 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 re-opened such a decision for comment; and
- Financing, directly or indirectly, an attempt to influence the outcome of an election, any voter participation or registration activity, or any partisan or non-partisan political activity.

Although the above activities cannot be funded with TAG monies, members of a recipient group may be able to undertake them by using other funds (so long as those funds are not used to meet the 20 percent match requirement).

The Application

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

OVERVIEW OF THE APPLICATION FORMS: The federal grant application form EPA is required to use for the TAG Program is entitled, "State and Local Nonconstruction Programs" (EPA Form 5700-33). As the name implies, it is a grant application form used for many other grant programs besides the TAG Program. The basic application form consists of five parts:

- I. General Information, Signature, and Certification;

II. Project Approval Information;

III. Budget Information;

IV. Project Narrative Statement (Applicant Qualifications and the Statement of Work); and

V. Assurances.

In addition, you must complete a Procurement Certification Form (EPA Form 5700-48) and, if your group seeks a grant of \$25,000 or more, a form entitled "Certification Regarding Debarment, Suspension, and Other Responsibility Matters" [EPA Form 5700-49 (11-88)]. On the Procurement Certification Form you will need to indicate that your group has a procurement system in place that conforms to federal regulations (which is very unlikely) or that you will allow EPA to review your selection process before signing a contract with a technical advisor. The "Certification Regarding Debarment, Supervision, and Other Responsibility Matters" 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 grant application, detailed step-by-step instructions specific to the TAG Program are provided beginning on page 1-15. To illustrate these instructions, Part 1 also contains a sample version of the application. The information that appears in the completed forms represents data from a fictitious applicant group and is provided solely as an example of a properly completed form. If you have questions on the TAG Program requirements or how to complete the forms, contact your EPA Regional Office and you will be put in touch with the person who can best answer your question. In addition, your EPA Regional

TAG staff is available to meet with you to help you complete the grant application.

CONSOLIDATING: If you are aware of other groups in your community who plan to apply for a TAG at the same site your group is concerned about, you are strongly encouraged to consolidate your applications into one. Only one TAG is available at each Superfund site. 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. If EPA must review competing applications, the process will, by necessity, require more time and the award of a grant may be delayed. Meanwhile, cleanup at the site will continue, meaning that the recipient's technical advisor(s) will come into the process later than would be the case if there were only one TAG applicant. Therefore, everyone benefits if groups form a coalition in a timely fashion.

PLANNING AND SCHEDULING ACTIVITIES: Typically, a TAG is awarded for a three-year budget period. However, the cleanup process at Superfund sites generally takes from three to seven years. Therefore, you may want to plan your expenditures in such a way that you have funds left at the end of the first budget period; these funds can be carried over into a second budget period so that your group has access to a technical advisor throughout the cleanup process. To do this, you will need to submit a continuation application to EPA prior to the expiration of the initial budget period. Directions for completing a continuation application can be found in Part 3. If your group wishes to use a budget period of other than three years, contact your EPA Regional Office.

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 activities you would like to have your technical advisor(s) perform. Keep in mind, however, that site activity schedules are subject to change.

Intergovernmental Review

All grants are subject to intergovernmental review. This means that you must provide your state an opportunity to review your grant application so that your Governor can stay informed about the variety of grants awarded to groups within your state. State requirements regarding intergovernmental review vary. You should, therefore, call your state's contact person for intergovernmental review to find out what procedures to follow. You will find a state-by-state list of intergovernmental review contacts in the "References" section of this handbook. Typically, you will need to submit a copy of your grant application to a single point of 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.

States may require a maximum of 60 days for the intergovernmental review process. EPA cannot process your application package without evidence that your state has completed its intergovernmental review, as indicated in Item 22 (Part I, Section II) of your application form. Therefore, determining your state's requirements should be one of the first things you do in preparing your TAG application.

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. Your project manager is 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 you supply becomes part of EPA's records and is therefore subject to public release under the Freedom of Information Act (5 U.S.C. 552).

Evaluating The Grant Application

To ensure that grants are awarded to the applicants most directly affected by the site, EPA developed a process to evaluate the strengths and weaknesses of each application. EPA will review and score all applications using the five evaluation criteria outlined below. The "Instructions" section of Part 1 tells you how to demonstrate that your group meets these criteria (see page 1-15). The five criteria that will be used to evaluate your application include:

1. The presence of an actual or potential health threat posed to group members by the site. (30 points)
2. The applicant best representing groups and individuals affected by the site. (20 points)
3. The applicant's plans to use the services of a technical advisor throughout the Superfund response action, which includes all activities from preliminary planning and investigation through operation and maintenance. (20 points)
4. The demonstrated intention and ability of the applicant to share with others in the community the information provided by the technical advisor(s). (20 points)
5. The presence of an actual or potential economic threat or threat of impaired use or enjoyment of the environment to group members that is caused by the site. (10 points)

Because only one grant may be awarded for any eligible site, EPA will rank each application against any other applications for the same site. In completing your TAG application, you need only supply a paragraph to address each of the above criteria. If EPA receives competing applications for one site, EPA may contact you for additional information to help EPA make the best choice.

Notifying Grant Applicants

The length of time required for EPA to review your application once the intergovernmental review process has been completed will vary. When EPA has reviewed your completed application, EPA will send you a written notice telling you whether your grant request has been approved. If the grant has been approved, EPA's Award Official will prepare and sign a grant agreement, which your group's project manager also must sign. The Award Official is the EPA official (usually the Regional Administrator) delegated the authority to sign grant agreements.

The grant agreement specifies 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. If you do not do one of these two things (sign or ask for more time), the grant agreement will 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. With one exception, you may not incur any costs until both you and the EPA Award Official have signed the grant agreement. The only exception is the costs of incorporating.

The award of a grant agreement is a public trust. 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 and state laws, regulations, and policies. You are responsible for efficiently and effectively managing the project, completing the project according to the schedule, and meeting all monitoring and reporting requirements. EPA is not obligated, however, to provide Federal funds for any costs incurred by your group in excess of the Federal share of your approved budget.

When you receive your grant, note carefully the:

- Dollar amount awarded;
- Project period shown on the first page;
- Approved budget;
- Non-federal percentage shown; and
- Any special conditions included.

These items represent legally-binding terms of the grant. You must adhere to them. They can be changed only through a grant amendment (see Part 3).

Step-by-Step Application Instructions

This section provides step-by-step instructions on completing each of the forms required to submit a TAG application. These forms include:

- **APPLICATION FOR FEDERAL ASSISTANCE** (EPA Form 5700-33 and Standard Form 424);

 Part I: General Information, Signature, and Certification
 Part II: Project Approval Information
 Part III: Budget Information
 Part IV: Project Narrative Statement
 Part V: Assurances
- **PROCUREMENT SYSTEM CERTIFICATION** (EPA Form 5700-48); and
- **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS** (EPA Form 5700-49) (needed only if your group is seeking a grant of \$25,000 or more).

These instructions are intended to walk you through the process of filling out each form. In addition to the instructions, sample completed versions of all three forms can be found in the section that follows this one. Blank versions of all three forms are provided at the end of Part 1 for your convenience. Before you sit down to fill out your application, you may find it useful to photocopy the blank application forms to create a draft set. If questions arise as you complete these forms, please do not hesitate to discuss them with your EPA Regional Office.

You will find "do's and don'ts" at the end of this section on page 1-31, followed by "commonly asked questions" on page 1-33. A checklist to assist you in completing the grant application is provided on page 1-71.

Application For Federal Assistance

ITEM	INSTRUCTIONS
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NOTE: See page 1-41 for a sample completed application and page 1-75 for a blank application form. To simplify your work, EPA has filled in those items on the grant forms that are the same for all TAG applicants.

PART I -- General Information, Signature, and Certification

Section I -- Applicant/Recipient Data

1. Type of Submission Do not complete. This has been filled in for you.
2. Applicant's Application Identifier
 - a. Number Leave blank.
 - b. Date Write the current date.
3. State Application Identifier
 - a-b. Leave blank.
4. Legal Applicant/Recipient List the name and address of your group and the name and telephone number of a contact person who would be able to supply additional information if necessary. "Organization unit" is not applicable to TAG applicants.
5. Employer Identification Number Contact your EPA Regional Office to determine whether this item applies to you.
6. Program Do not complete. This has been filled in for you.

APPLICATION FOR FEDERAL ASSISTANCE, page 1 (continued)

ITEM	INSTRUCTIONS
7. Title of Applicant's Project	Enter the name of the Superfund site for which the grant will be used.
8. Type of Applicant/ Recipient	Do not complete. This has been filled in for you.
9. Area of Project Impact	List the municipality(ies) and county(ies) adjacent to, encompassing, and affected by, the site.
10. Estimated Number of Persons Benefitting	Enter the number of persons directly affected by the site. You may estimate this number or obtain it from the site's National Priorities List description, which an EPA contact can provide. (See "References" section of this handbook.)
11. Type of Assistance	Do not complete. This has been filled in for you.
12. Proposed Funding	Enter the appropriate amount of funds that will be needed for the first budget period, as indicated in the Statement of Work (Part IV, Section 2, of this application). EPA will not provide more than \$50,000 for any site in the initial award. The amount in line "a," EPA's proposed funding, cannot be more than 80 percent of the amount in line "f," the total funding.
13. Congressional Districts of:	
a. Applicant	Write the district number and state abbreviation of the member of Congress who represents the area where the offices of the incorporated group are located.
b. Project	Write the district number and state abbreviation of the member of Congress who represents the area that encompasses the site.
14. Type of Application	Write the appropriate letter in the box (such as "A" for new or "B" for a continuation application).

APPLICATION FOR FEDERAL ASSISTANCE, page 1 (continued)

ITEM	INSTRUCTIONS
15. Project Start Date	Ask your EPA Regional Office the date that funding for your grant is likely to be approved if you receive an award. Write in this date or the date when you wish to begin receiving funds, whichever date is later.
16. Project Duration	Estimate (in months) the length of the project period. This cannot exceed 36 months (three years) for the initial award.
17. Type of Change	Enter "NA" (not applicable) for an initial application. Enter "E" for a continuation application.
18. Date Due to Federal Agency	Leave blank.
19. Federal Agency to Receive Request	Enter your EPA Region's number, contact, and address. (See "References" section of this handbook for addresses.)
20. Existing Federal Grant Identification Number	Write "NA" for initial application; for all continuation applications, enter the EPA Assistance Identification Number assigned to the grant.
21. Remarks Added	If using Section IV (Remarks) to further discuss other information contained in the grant application, check yes. (See Section IV below.)
Section II -- Certification	
22. The Applicant Certifies That:	This program may be subject to intergovernmental review by your state government. To find out, you must call or write your state's intergovernmental review contact (see the "References" section of this handbook for a list). That person can explain how and where to submit your application for state review. If your state requires review, enter in Item 22 that the application has been made available to the appropriate state contact. If your state does not want to review your application, check the second box under "b." BEGIN THIS PROCESS EARLY TO AVOID DELAYS.

APPLICATION FOR FEDERAL ASSISTANCE, page 1 (continued), 2, and 3

ITEM	INSTRUCTIONS
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- | | |
|-------------------------------|--|
| 23. Certifying Representative | Your group's Project Manager (the officer authorized to obligate your group to the conditions of the grant agreement/application) must sign this item. |
|-------------------------------|--|

Section III -- Federal Agency Action

- | | |
|--------|---|
| 24-33. | Leave blank. This section is filled out by EPA. |
|--------|---|

Section IV -- Remarks

In Section IV, "Remarks," please provide a one or two sentence summary description of your proposed project. You may also use this section to expand on your answers in Sections I and II. If you do this, please reference the item that you are expanding upon (for example, "Section I, #7").

PART II -- Project Approval Information

- | | |
|--|---|
| 1 - 2. | Do not complete. This has been filled in for you. |
| 3. | Call your state's intergovernmental review contact (see "References" section) to find out whether your state requires review. Check yes or no accordingly. |
| 4 - 5. | Do not complete. This has been filled in for you. |
| 6. Will the assistance request serve a federal installation? | This question refers to assistance to the people who work at a federal facility, while the next question refers to the physical location. Check yes if the NPL site is a federally-owned facility. This information can be provided by the appropriate EPA Regional contact listed in the "References" section. |
| 7. Will the assistance requested be on federal land or installation? | Site-specific; provide information on the site if it is a federal facility. |

APPLICATION FOR FEDERAL ASSISTANCE, page 3 (continued) and 4

ITEM	INSTRUCTIONS
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|--|--|
| 8. Will the assistance requested have an impact or effect on the environment? | Do not complete. This has been filled in for you. |
| 9. Has the project for which assistance is requested caused, since January 1, 1971, or will it cause, the displacement of any individual, family, business, or farm? | Do not complete. This has been filled in for you. |
| 10. Is there other related assistance on this project previous, pending, or anticipated? | Fill in if you are receiving technical assistance funds from another federal agency. (Generally, no affected applicant groups will have received funds from another federal agency for the purpose of technical assistance at the Superfund site in question.) |
| 11. Is project in a Designated Flood Hazard Area? | Site-specific; consult the appropriate EPA Regional contact listed in the "References" section. |

Part III -- Budget Information**Section A -- Budget Summary**

- | | |
|---|--|
| 1. Grant Program, Function, or Activity | Enter the name of the Superfund site on line 1. |
| Federal Catalog No. | Do not complete. This has been filled in for you. |
| 2-5. | Write "See Detailed Budget In Part IV, Section 2(B)" in line 2 across columns (d)-(g). Budget information is requested in Part IV narrative. |

Section B -- Schedule A Budget Categories

- | | |
|---------------------------------------|---|
| 6. Grant Program Function or Activity | Do not complete. This has been filled in for you. |
| 6a-6k and 7. | Write "See Detailed Budget in Part IV, Section 2(B)" in line 6(b) across columns (2)-(5). |

APPLICATION FOR FEDERAL ASSISTANCE, pages 5 and 6

ITEM	INSTRUCTIONS
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Section B -- Schedule B Budget Categories

- 6a. Program Elements Enter the name of the Superfund site on line (a).
- b-j. Write "See Detailed Budget in Part IV, Section 2(B)" in line 6(b) across columns (1)-(3). You need not provide budget figures here.

Section C -- Non-Federal Resources

- 8a. Grant Program Enter the name of the Superfund site in column (a).
- 8b-8e and 9-12. Write "See Detailed Budget in Part IV, Section 2(B)" in line 9, across columns (c) and (d).

Section D -- Forecasted Cash Needs

- 13-14. Federal/Non-Federal Section D represents the cash needs of the first year of your three year budget period. Enter the estimated dollar amounts for the stated time periods. Use the proposed three year schedule of tasks included in the Statement of Work (Part IV) below to estimate first year cash needs. (Don't spend a lot of time on this section -- a rough estimate is fine.)
15. Totals Total the amounts of lines 13 and 14 for each column.

Section E -- Budget Estimates of Federal Funds Needed For Balance

16. Grant Program Funding Periods
- a. Enter the name of the Superfund site.
- 16b-20e. In columns (b), (c), (d), and (e), enter your rough estimate of the amount of federal funds needed for technical assistance for the years after the initial grant. (This refers to any grant funds you expect to have left after three years.)

APPLICATION FOR FEDERAL ASSISTANCE, page 6 (continued) and 7-11

ITEM	INSTRUCTIONS
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Section F -- Other Budget Information

21. Direct Charges Do not complete. This does not apply to TAG applicants.
22. Indirect Charges Do not complete. This does not apply to TAG applicants.

PART IV -- Project Narrative Statement

The forms for Part IV follow a question and answer format which is, for the most part, self-explanatory. To illustrate the type of information sought, the sample application in the "Sample Documents" section of Part 1 shows the questions filled in with the "answers" (in italic type) of a hypothetical group called the Woodtown Landfill Coalition. Additional guidance is given below for Items B2, B5, B7, C1, and C5 in Section 1 and Items A and B in Section 2.

Section 1 -- Group Qualifications

- B2. Resources for Project Completion The value of equipment, such as an adding machine or typewriter supplied by your group, may be counted as an in-kind contribution. However, only that portion of the property's use directly attributable to the TAG project counts as an in-kind contribution. The value of donated space, such as an office for the technical advisor(s), may be considered an in-kind contribution, but it must not exceed the fair rental value of comparable space in a privately-owned building in your community. If the donated space is used for purposes other than the TAG project, only the portion associated with the TAG project may count as an in-kind contribution.
- B5. Incorporation You may meet the incorporation requirement by stating that your group, if not incorporated, has plans for incorporating if it is awarded a grant. Once your group is awarded a grant, you must affirm that your group has filed the necessary papers for incorporation with the state. However, on or before your first request for payment, you must submit to EPA documentation (such as a letter from the state) that your group has been incorporated officially by the state. If your group is incorporated for some other purpose and has a substantial history of involvement at the site, you must

document this involvement for EPA.

APPLICATION FOR FEDERAL ASSISTANCE, page 11 (continued), 14

ITEM	INSTRUCTIONS
B6. Drug-Free Workplace Policy	This statement is necessary to comply with the Anti-Drug Abuse Act of 1988.
C1. Health Considerations	Under this item, you should explain whether your group members are subject to demonstrable health threats, whether actual or potential, or to a threat that group members reasonably believe to be substantial. However, your inability to provide documentation of health problems related to the site will not necessarily prevent you from receiving a grant, provided the other criteria are met.
C5. Economic/Environmental Considerations	<p>EPA is trying here to establish whether your group members are subject to:</p> <ul style="list-style-type: none"> • A demonstrable economic threat; • Impairment of the group's use and enjoyment of the environment, whether actual or potential; or • A threat that is reasonably believed to be substantial. <p>If you are unable to provide documentation of economic or environmental problems related to the site, you may still be able to obtain a grant, provided other criteria are met.</p>

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

- | | |
|----------------------|---|
| A. Statement of Work | <p>This item requires a succinct explanation of what you plan to have your technical advisor(s) do at each stage of the site cleanup process. Be as complete as possible. To change this list of activities, you will have to get EPA's written approval. Attachment 1.A. in the sample application (page 1-58) shows one way of providing a Statement of Work. You may use a different format to provide this information if you wish. You should show estimates of the advisor's time to conduct his or her services during each phase of the cleanup process and the products you expect the advisor to provide.</p> |
|----------------------|---|

APPLICATION FOR FEDERAL ASSISTANCE, pages 15 and 16

ITEM	INSTRUCTIONS
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- B. Detailed Budget
- This item requires you to translate the three-year Statement of Work into dollar figures. Attachments 1.B. and 1.C. in the sample application (pages 1-59 and 1-60) show one way of doing this. Attachment 1.B. breaks the general activities from Attachment 1.A. down into specific tasks, hours, and dollars. Attachment 1.C. summarizes costs by type of activity and indicates whether they will come from TAG funds or the group's matching contribution. Those costs covered by the group's match should agree with the costs indicated in Part III, Section B of the Application for Federal Assistance. The goods and services listed should include everything you think you will purchase with grant funds or with your group's matching share. To add items to the budget later, you will need EPA's written approval.

PART V -- Assurances

This part contains the regulations, policies, guidelines, and requirements to which your group must adhere. You should read these carefully and then sign at the bottom of the page. Be sure to submit this sheet with the rest of your application package.

Procurement System Certification (EPA Form 5700-48)

NOTE: See page 1-63 for sample completed version and page 1-93 for blank version.

Section I

Enter your group's name and address as it appears on the main application form.

You may leave the section under "Assistance Application Number" blank.

Section II

- A. Most groups will not complete Section II(A) because they will not have previously obtained an EPA assistance agreement.
- B. Because most groups will not have a certifiable procurement system (box #1), most groups will check box #2 of Section II(B) to indicate that they will comply with 40 CFR Part 33 as their procurement rule and allow EPA to review their proposed contract with their technical advisor(s) before the contract is signed. Your group's project manager must sign and date the bottom of this form. Be sure to submit this signed form with the rest of your application.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49)

NOTE: Both the TAG applicant and the technical advisor candidate(s) must submit this form. (See Part 2 for the technical advisor's instructions.) You will find a sample completed version on page 1-67 and a blank version on page 1-97.

Instructions for TAG Applicants

On the first line, enter your group's name and the name and title of your group's project manager, as they appear on page 1 of the main application form under Items 4 and 23(a).

Your group's project manager must sign and date the second line.

If your group cannot sign this certification, check the box and attach an explanation of why you cannot.

Do's and Don'ts In Applying For A Technical Assistance Grant

Do's	Don'ts
<input type="checkbox"/> Do make an effort to form coalitions with other concerned individuals or groups of individuals in order to submit a single application for the grant awarded to your site.	<input type="checkbox"/> Don't spend too much time on the budget forecasting components of the application (Part III, Sections D and E). This information need only be approximate.
<input type="checkbox"/> Do put down the correct Congressional district on your grant application.	<input type="checkbox"/> Don't spend too much time on the Narrative Statement of Work (Part IV of the Application). EPA will ask you for more information if necessary.
<input type="checkbox"/> Do talk with the EPA Remedial Project Manager at the site before preparing the Statement of Work (Part IV) for your application.	<input type="checkbox"/> Don't delay signing the application. It will delay the award of the grant.
<input type="checkbox"/> Do be sure your budget figures add up correctly.	<input type="checkbox"/> Don't hire EPA or state employees to help prepare your application.
<input type="checkbox"/> Do be sure to sign the bottom of Part V of the application ("Assurances") and submit it with your application.	<input type="checkbox"/> Don't include PRPs in your group.
<input type="checkbox"/> Do be sure to include in your application the procurement and debarment certification forms.	
<input type="checkbox"/> Do comply with your state's inter-governmental review requirements.	
<input type="checkbox"/> Do contact your EPA Regional Office for assistance if you need it.	
<input type="checkbox"/> Do submit the signed original version of your application and 2 copies.	

Commonly Asked Questions About Applying For A Technical Assistance Grant

IS A LOCAL CHAMBER OF COMMERCE ELIGIBLE TO RECEIVE A TAG?

Chambers of Commerce as a group typically are not eligible for TAGs. A chamber is not incorporated for the purpose of addressing Superfund site problems, and is unlikely to have a substantial history of involvement at the site. In addition, their individual members may not be "affected" individuals. Finally, a chamber may include Potentially Responsible Parties or other ineligible entities among its members, which ordinarily would make it ineligible.

DO WE HAVE TO USE A THREE-YEAR BUDGET PERIOD?

It may be possible to use a budget period of another length. Those applicants considering budget periods of lengths other than three years should discuss this with their EPA Regional Office before filling out the application.

IS THE COST OF INCORPORATING CONSIDERED AN ELIGIBLE ACTIVITY UNDER THE GRANT?

Yes. This cost is considered an eligible pre-award cost and may be charged to the grant or counted toward the matching funds requirement.

CAN WE USE GRANT FUNDS TO PAY SOMEONE WHO HELPED PREPARE OUR APPLICATION?

No. Your group can use someone to prepare the grant application, but you cannot pay that person with grant funds. Necessary and reasonable costs incurred by your group to incorporate are the only costs you may incur before you receive a grant and still be reimbursed for them. You cannot count the time you spend preparing your TAG application as an in-kind contribution.

SHOULD WE USE GRANT FUNDS TO PAY SOMEONE TO MANAGE OUR GRANT FOR US?

No. TAG awards should be used to pay for activities directly related to interpreting and communicating technical cleanup information for lay people, rather than for managerial activities. One of your group members may be able to donate such managerial skills, which can be counted as an "in-kind" contribution.

WHERE CAN I OBTAIN FURTHER INFOR- MATION ABOUT INCORPORATION?

General information concerning your state's laws of incorporation may be obtained from the state governor's office, a private lawyer, or a local legal services agency. Specific questions concerning the effect of incorporation on taxes can be answered by the U.S.

Internal Revenue Service or state tax offices. The local public library often is an excellent source of information on this subject.

WHAT ARE SOME EXAMPLES OF IN-KIND CONTRIBUTIONS?

In-kind contributions may come in the form of donations of equipment (for example, a word processor, typewriter, or copier), office space, or supplies (such as paper and pencils). Volunteer services may also be counted as in-kind contributions; these may include:

- 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 the technical advisor's contract; and
- A group member's efforts to write and distribute your newsletter to the community.

A variety of other costs may also be counted as in-kind contributions, including telephone calls, publication of a public notice seeking qualified advisors, postage and printing of newsletters, copies of project documents, and fees for public meeting facilities. Your group must keep records documenting all of these types of contributions.

CAN A GROUP RECEIVE MORE THAN \$50,000 FOR PROPOSED SITES?

No. Sites proposed for the National Priorities List (NPL) are not eligible for deviations from the \$50,000 grant ceiling. Deviations from the ceiling may be considered only after a site is formally listed on the NPL.

Sample Application Documents

To assist you in completing the TAG application, completed samples of the required forms are included in this section. The sample completed forms that follow illustrate the detailed instructions provided earlier in Part 1. Blank copies of these completed forms begin on page 1-73. The blank forms can be used by your group to complete your TAG application. You will find the following sample forms in this section:

- Letter of Intent;
- Application for Federal Assistance;
- Procurement Certification; and
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters.

You will find a checklist to assist you in completing the grant application at the end of this section on page 1-71. "Do's and don'ts" and "commonly asked questions" are provided on pages 1-31 and 1-33.

Letter of Intent

Letter of Intent

Woodtown Landfill Coalition
Main Street
Woodtown, CT 06898

May 3, 1990

TAG Project Officer
Superfund Management
EPA Region 1
Mail Code: HDA-CAN4
John F. Kennedy Federal Building
Boston, MA 02203

Dear Sir/Madam:

This letter has been prepared by the Woodtown Landfill Coalition to announce this group's intention to apply for a Technical Assistance Grant. The coalition, which is comprised of the Woodtown Citizens Task Force and the Smithtown Outing Club, plans to use any awarded grant funds for obtaining assistance in interpreting technical information generated during the Superfund cleanup process at the Woodtown Landfill site in Litchfield County, Connecticut. Please send an application and other relevant materials to the Woodtown Landfill Coalition in care of Pat Jones at the address listed above. The group hopes to file its application in July 1990.

Sincerely,



Pat Jones, Executive Director
Woodtown Landfill Coalition

Application for Federal Assistance

[EPA Form 5700-33 (Rev. 11-86), Standard Form 424]

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION IDENTIFIER	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
1. TYPE OF SUBMISSION (Mark appropriate box) <input type="checkbox"/> NOTICE OF INTENT (OPTIONAL) <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION		b. DATE Year month day 19 90 7 10	NOTE: TO BE ASSIGNED BY STATE		b. DATE ASSIGNED Year month day 19
Leave Blank					
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name Woodtown Landfill Coalition b. Organization Unit c. Street/P.O. Box Main Street d. City Woodtown e. County Litchfield f. State CT g. ZIP Code 06898 h. Contact Person (Name & Telephone No.) Pat Jones (203) ###-####				5. EMPLOYER IDENTIFICATION NUMBER (EIN) NA 6. PROGRAM (From CFDA) a. NUMBER 66 • 806 b. TITLE Superfund Technical Assistance Grant	
7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.) Technical Assistance at the Woodtown Landfill Site				8. TYPE OF APPLICANT/RECIPIENT A-State B-Interstate C-Substate D-County E-City F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter <input checked="" type="checkbox"/> K Non-Profit Citizen Organization	
9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.) Smithtown, Woodtown, Litchfield, CT			10. ESTIMATED NUMBER OF PERSONS BENEFITING 7,000		11. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/> A
12. PROPOSED FUNDING a. FEDERAL \$ 50,000 .00 b. APPLICANT 12,500 .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. Total \$ 62,500 .00		13. CONGRESSIONAL DISTRICTS OF: a. APPLICANT 6 (CT) b. PROJECT 6 (CT) 15. PROJECT START DATE Year month day 19 91 9 1 16. PROJECT DURATION 36 Months 18. DATE DUE TO FEDERAL AGENCY Year month day 19		14. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation Enter appropriate letter <input type="checkbox"/> 17. TYPE OF CHANGE (For 14c or 14e) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation F-Other (Specify): NA Enter appropriate letter(s) <input type="checkbox"/>	
19. FEDERAL AGENCY TO RECEIVE REQUEST EPA a. ORGANIZATIONAL UNIT (IF APPROPRIATE) Region I b. ADMINISTRATIVE CONTACT (IF KNOWN) c. ADDRESS JFK Federal Building Boston, MA 02203				20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER NA 21. REMARKS ADDED <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
22. THE APPLICANT CERTIFIES THAT: To the best of my knowledge and belief, data in this preapplication/application 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 approved.		a. YES, THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE 07/10/90 b. NO, PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW <input type="checkbox"/>			
23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE Pat Jones Executive Director b. SIGNATURE Pat Jones		24. APPLICATION RECEIVED 19 Year month day 25. FEDERAL APPLICATION IDENTIFICATION NUMBER 26. FEDERAL GRANT IDENTIFICATION			
27. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE <input type="checkbox"/> e. DEFERRED <input type="checkbox"/> f. WITHDRAWN		28. FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		29. ACTION DATE 19 Year month day 30. STARTING DATE 19 Year month day 31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 32. ENDING DATE 19 Year month day 33. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	

SECTION IV--REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

The Woodtown Landfill Coalition is seeking funds to obtain a technical advisor to provide assistance in the review and analysis of remedial activities at the Woodtown Landfill Superfund site. The technical advisor will assist Coalition members in interpreting documents generated throughout the Superfund process at the Woodtown Landfill site.

Form Approved
OMB No 2030-0020
Approval expires 7-31-89

PART II

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request State, local, regional, or other priority rating?

_____ Yes ☒ No

Name of Governing Body _____

Priority Rating _____

Item 2.

Does this assistance request require State or local advisory, educational, or health clearances?

_____ Yes ☒ No

Name of Agency or Board _____

(Attach Documentation)

Item 3.

Does this assistance request require clearinghouse review in accordance with Executive Order 12372?

☒ Yes _____ No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?

_____ Yes ☒ No

Name of Approving Agency _____

Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?

_____ Yes ☒ No

Check one: State ☐
Local ☐
Regional ☐

Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?

_____ Yes ☒ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?

_____ Yes ☒ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

☒ Yes _____ No

See instructions for additional information to be provided.

The assistance is intended to

facilitate site response actions.

Item 9.

Has the project for which assistance is requested caused, since January 1, 1971, or will it cause, the displacement of any individual, family, business, or farm?

_____ Yes ☒ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

_____ Yes ☒ No

See instructions for additional information to be provided.

Item 11.

Is project in a Designated Flood Hazard Area?

_____ Yes ☒ No

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OMB No. 2030-0020
Approval expires 7-31-89

PART III-BUDGET INFORMATION						
SECTION A-BUDGET SUMMARY						
GRANT PROGRAM, FUNCTION OR ACTIVITY (a)	FEDERAL CATALOG NO. (b)	ESTIMATED UNOBLIGATED FUNDS		NEW OR REVISED BUDGET		
		FEDERAL (c)	NON-FEDERAL (d)	FEDERAL (e)	NON-FEDERAL (f)	TOTAL (g)
1. Technical Assistance		\$	\$	\$	\$	\$
2. Grant at: Woodtown	66 • 860					
2. Landfill Site			See Detailed Budget in Part IV, Section 2(B)			
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B-SCHEDULE A BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					TOTAL (5)
	(1) Technical Assistance	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits			See Detailed Budget in Part IV, Section 2(B)			
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges						
j. Indirect Charges						
k. TOTALS	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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SECTION B - SCHEDULE B - BUDGET CATEGORIES

6. Program Elements	FUNDING			(4) MAN- YEARS
	(1) FEDERAL	(2) NON-FEDERAL	(3) TOTAL	
a. Technical Assistance at:	\$	\$	\$	
b.	See Detailed Budget in Part IV, Section 2(B)			
c.				
d.				
e.				
f.				
g.				
h.				
i. Total Program Elements	\$	\$	\$	
j. STATE TOTAL	\$	\$	\$	

Form Approved
OMB No. 2030-0020
Approval expires 7-31-89

SECTION C--NON-FEDERAL RESOURCES					
(a) GRANT PROGRAM	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS	
8. Technical Assistance at: Woodtown	\$	\$	\$	\$	
9. Landfill Site		See Detailed Budget in Part IV, Section 2(B)			
10.					
11.					
12. TOTALS	\$	\$	\$	\$	

SECTION D--FORECASTED CASH NEEDS					
	TOTAL FOR 1st YEAR	1st QUARTER	2nd QUARTER	3rd QUARTER	4th QUARTER
13. Federal	\$ 18,500	\$ 4,000	\$ 6,700	\$ 3,600	\$ 4,200
14. Non-Federal	4,625	1,000	1,675	900	1,050
15. TOTALS	\$ 23,125	\$ 5,000	\$ 8,375	\$ 4,500	\$ 5,250

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:	\$ none	\$ none	\$ none	\$ none
17. Woodtown Landfill Site				
18.				
19.				
20. TOTALS	\$	\$	\$	\$

SECTION F--OTHER BUDGET INFORMATION (Attach Additional Sheets If Necessary)	
21. Direct Charges:	NA
22. Indirect Charges:	NA
23. Remarks:	

PART IV - Narrative Project Statement

Part IV consists of two sections. The first section, "Group Qualifications," is used by EPA to obtain information about your group's eligibility, characteristics, and plans for using grant funds.

The second section of Part IV is the Narrative Statement of Work for the technical advisor(s). In this section, your group describes how a grant award would be used with respect to Superfund technical milestones (for example, review of the Remedial Investigation Report) and provides your proposed budget.

To help determine projected tasks for your advisor and a tentative schedule in preparing the Statement of Work, you are encouraged to review the pamphlets on the Superfund and TAG Programs and the fact sheet entitled "Summary of Public Documents Prepared During the Remedial Process" that accompany this handbook. Also, review the Introduction to this handbook, which discusses the role of the technical advisor(s) and the sample application in the "Sample Documents" section of Part 1. For each task indicated in the Statement of Work, you will need to estimate the amount of review time to be allotted to your technical advisor(s).

Section 1 (Group Qualifications)

A. Group Eligibility

1. Is your group part of any of the following organizations? If the answer is yes, check the categories below that apply.

_____ Potentially Responsible Parties;
_____ Academic Institutions;
_____ Political Subdivisions (e.g., townships and municipalities; or local government); and
_____ Groups established and/or sustained by a state or local government.

PART IV - Narrative Project Statement (continued)

2. How many members are in your group? 105 Is it made up of a coalition of groups? yes (yes/no) If so, how many, and how did the groups come together? If not, how was your group formed?

The Woodtown Landfill Coalition is composed of members from two groups -- the Woodtown Citizen Task Force of Woodtown, CT and the Smithtown Outing Club of Smithtown, CT. The main concern of the Woodtown Citizen Task Force, formed in 1986, is health effects resulting from the contamination at the site. The Smithtown Outing Club, founded in 1965, organizes a variety of outdoor trips around Litchfield County. The Club's main concern is the effects of contamination from the Woodtown Landfill site on the surrounding environment. Since both groups require technical assistance, they have chosen to form an incorporated coalition for the purposes of this program.

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 technical advisor.)

Both the Woodtown Citizen Task Force and the Smithtown Outing Club have operated as non-profit organizations for at least five years and have existing administrative structures that oversee and guide their activities. The Woodtown Landfill Coalition is also non-profit, and will be managed by a four-person executive committee composed of the two presidents and the two treasurers of the respective groups. One member of the executive committee has been designated as Executive Director of the Coalition. The Executive Director will be the group's designated representative for the purposes of signing all documents related to the grant. The Executive Committee will direct the technical advisor and oversee the entire project. The two treasurers will be responsible for all financial oversight. The attached bylaws provide additional details about the administrative structure of the Woodtown Landfill Coalition.^{1/}

^{1/} The bylaws referred to in this part of the sample application are referred to for the sake of instruction only, and have not actually been appended to this example because they will vary on a case-by-case basis. Your group should include such bylaws when submitting your application if you are incorporated.

PART IV - Narrative Project Statement (continued)

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.)

To complete our technical assistance project we will require the services of a technical advisor for three years. At this time, the total estimated budget for the entire project will be \$62,500. Of this amount, the federal share will be \$50,000. We will match the federal share of \$50,000 with \$12,500 -- 20 percent of the total project cost with a combination of cash and in-kind contributions. The cash portion will come from annual dues and fund-raising activities such as the Smithtown Canoe Rally and the Woodtown Recycling Drive. In the past three years, we averaged \$1,500, collectively, from these fund-raising activities. We also have received about \$500 in donations in each of those years. In-kind contributions will come from donated meeting space, planning activities, executive committee meetings, time spent managing the technical advisor, accounting services, writing and editing services, and time required to put out mailings. A local businessman (a member and an officer of the Woodtown Citizen Task Force) will donate meeting space for use by the Coalition on an as-needed basis throughout the life of the project. A certified public accountant will donate services to provide accounting assistance to the Coalition. A local freelance writer and a local newspaper editor will design, write, and edit a newsletter devoted solely to the site and the technical assistance project. Attachment 1.A. provides a detailed budget including a breakdown of the federal and matching shares.

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

Although neither of the founding groups (Woodtown Citizen Task Force and the Smithtown Outing Group) nor the new Coalition previously have received federal funds, we believe the group can satisfactorily complete the proposed TAG project. The Narrative Statement of Work included in this application describes in detail our proposed plan for use of a technical advisor's services.

PART IV - Narrative Project Statement (continued)

Attachment 1.B., "Proposed Schedule and Costs for Technical Advisor," ties our Statement of Work to our budget.^{2/} The primary areas of past involvement are health and environmental concerns.

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.

Our financial management system complies with generally accepted accounting procedures. We will establish and maintain a separate bank account and a general ledger solely for the management of the Technical Assistance Grant. The two treasurers on the Executive Committee, Mary Jones and Fred Smith, will maintain all financial records related to the grant. These records will be stored in a central file in the same office where Coalition meetings will be held. A phone log will be maintained by the Coalition's officers. In addition, the technical advisor will be expected to keep a telephone log and other records of his/her activities and expenditures.

A member of the Woodtown Landfill Coalition, originally from the Smithtown Outing Club, is a certified public accountant and has volunteered to assist in the financial oversight of grant funds. He will advise the group on completing financial reports required by EPA and the state. In addition, an outside accounting firm will be brought in to perform an independent audit every other year, as required by federal regulations.

^{2/} Attachment 1.B. illustrates one way of displaying tasks, timeframe, and budget. TAG applicants may display this information in a different way if they choose.

PART IV - Narrative Project Statement (continued)

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

The Woodtown Landfill Coalition filed for and received approval from the state of Connecticut for incorporation as a non-profit organization. Attached is a copy of the letter from the state approving the group for incorporation. In addition, a copy of the group's bylaws has been attached.^{3/} This document provides a description of the administrative structure of the Woodtown Landfill Coalition and general group goals.

6. Does your group have a substantial history of involvement at the site? yes (yes/no) (If so, please include a brief description of your group's involvement.)

The primary areas of past involvement have been health and environmental concerns. The Woodtown Citizen Task Force and the Smithtown Outing Club have both held numerous meetings to discuss and publicize concerns about the Woodtown Landfill site, dating back to July 1985. Activities conducted by the two groups have included: writing to local officials, the Connecticut Congressional delegation, and EPA to request help in evaluating health risks and getting the site cleaned up; arranging for bottled water; press conferences; fund raising drives; well testing; and mapping the contamination.

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

^{3/} The letter and bylaws referenced above have not actually been appended to this example because they will vary from case-to-case considerably. They are referred to in this sample application only for illustration.

PART IV - Narrative Project Statement (continued)

C. Group Issues and Objectives

1. **Health Considerations:** How many group members have experienced health effects from contamination at the site? unknown 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.

Concern about contaminated private wells and possible health effects resulting from the contamination at the site led to the initial formation of the Task Force. As explained in a private sampling report, residents' well water continues to be undrinkable due to its strong odor, brownish color, and unpleasant taste which the Task Force believes to be solely caused by contamination from the Woodtown Landfill site. Several residents have reported to the Task Force that they have experienced mysterious skin rashes after bathing in the well water and are concerned about their health. As a result, Task Force members have had to resort to using bottled water for nearly four years. EPA is considering members' request for an alternate water supply after the Agency has completed their sampling at the landfill. The Woodtown Citizen Task Force, as a member of the Woodtown Landfill Coalition, wants to ensure specifically that all potential health risks related to the site are investigated thoroughly and that the remedial action selected will restore the quality of their private well water supplies.

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 affected individuals affected by the site.

The Woodtown Landfill Coalition has a diverse membership which represents much of the community's interests and concerns about the Woodtown Landfill site. Coalition members believe that this organized effort will positively affect both members of the group and individuals in the community by providing a single contact from which community concerns can be addressed. The Coalition itself does not have a long history with the Woodtown Landfill site, but its composite organizations have been active in dealing with site issues since the site was listed on the National Priorities List in 1986.

PART IV - Narrative Project Statement (continued)

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

The primary purpose of the tasks to be performed by the technical advisor is to help the members of the Woodtown Landfill Coalition better understand the technical information, data, reports, designs, and oral presentations provided by EPA and the state in the course of studying and conducting remedial activities at the Woodtown Landfill site. By interpreting, analyzing, and evaluating the information, the technical advisor will aid our group in commenting more productively and effectively on remedial activities at the site. The ultimate goal of the technical assistance project is to help us help EPA clean up our drinking water and restore the Rolling River to its previous recreational uses. A more detailed description of the tasks to be performed by the technical advisor is given in the Narrative Statement of Work (Attachment 1.A.) and in the Proposed Schedule of Tasks and Costs for Technical Advisors (Attachment 1.B.).

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

To keep community members informed of activities at the Woodtown Landfill site, the Woodtown Landfill Coalition will produce six issues of a newsletter containing information generated by the technical advisor(s). 300 copies of this newsletter will be printed for each issue: 200 copies will be distributed by hand to interested community members and 100 copies will be mailed directly to Coalition members and the local press. In addition, all final documents produced by technical advisor(s) will be sent to EPA to be placed in the information repositories established for the site at locations accessible to interested community members (Woodtown Public Library). To encourage community involvement in activities related to the site, the Coalition will make all of its general, monthly meetings open to the public. Additionally, prior to EPA's public meeting on the feasibility study, the Coalition will hold a community forum to brief the public on the technical advisor's findings. The Coalition will advertise the meeting by putting an ad in the local newspaper.

PART IV - Narrative Project Statement (continued)

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.

Members of the Smithtown Outing Club have, since the Club's inception in 1965, actively organized a variety of swimming, canoeing, fishing, and hiking trips within Connecticut. Many of these club-sponsored activities have taken place on or near the Rolling River. During the last decade, however, contamination from the Woodtown Landfill site has polluted the river, causing club members to fear swimming or canoeing in the river. Additionally, the state has banned fishing in the river. As a result, this pollution has eliminated most of the river's recreational uses. The Smithtown Outing Club, as a member of the Woodtown Landfill Coalition, wants the Woodtown Landfill site cleaned up so that the pollution caused by it will no longer damage the Rolling River.

A number of economic concerns face many of the members of the Woodtown Landfill Coalition. The main worry among Coalition members is that publicity about the contamination from the landfill may cause the property values of homes with contaminated water or with riverfront exposure to the Rolling River to decrease significantly. As a result, Coalition members support a timely cleanup of the Woodtown Landfill site before the effects of site contamination scare away potential buyers and significantly lower property values in the region. Coalition members also have experienced significant financial burdens from not being able to use their well water. For example, members must purchase bottled water for drinking and cooking, and laundry cannot be washed in residential washing machines because the clothes become stained after washing them in the contaminated water.

Section 2 - Narrative 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.

See Attachment 1.A. and 1.B.

PART IV - Narrative Project Statement (continued)

- 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.

This budget should detail the amount of the group's matching contribution separately. 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.

As discussed on pages 1-24, 1-25, and in Part 3, goods or services not identified in this budget, which you later want to accept or purchase, will require written approval from EPA. This includes goods and services in the matching share.

See Attachment 1.C.

Attachment 1.A.**Narrative Statement of Work**

This section provides a detailed description of individual technical advisor tasks and their purposes. Technical assistance tasks described in this Statement of Work are based on conversations with the EPA Regional staff (the Remedial Project Manager and the Community Relations Coordinator for the site).

For all reports and reviews completed by the technical advisor, a memo will be prepared for the Coalition's leadership so that information can be relayed to the membership via the newsletter. The memo and newsletter also will be sent to EPA to be placed in the information repository for the site.

Remedial Investigation (Estimate: 134 hours, including one trip)

The advisor's first task will be to review the RI work plan, sampling plan, and quality assurance and quality control (QA/QC) plan. Special attention will be given to how EPA plans to investigate the migration of contamination from the Woodtown Landfill site into the Rolling River. The advisor will be expected to attend and participate in a proposed meeting between EPA staff and residents scheduled for the start of the RI. Upon completion of the RI report, the advisor will be expected to help the Coalition evaluate the results. Another key document to be reviewed by the advisor will be the risk assessment (if available).

Feasibility Study (Estimate: 288 hours, including one trip)

The advisor will complete a detailed analysis of the proposed remedies in the draft feasibility study and then brief the Coalition on its contents. Additionally, the advisor will prepare a written report to aid the Coalition's preparation of public comments, specifically addressing the proposed cleanup measures. The advisor will make a presentation on his findings at a special community forum held by the Coalition prior to EPA's public meeting. The advisor will attend and participate in EPA's public meeting to be held in Woodtown during the public comment period. The single, two-day trip during this period will combine both the Coalition briefing and the public meeting.

The advisor will be expected to analyze the health assessment thoroughly to ensure that public health is being adequately considered. The advisor will prepare a summary report on the potential health risks posed by the site and how EPA proposes to address these risks. The advisor also will examine the ROD and prepare a memorandum on the chosen method of cleanup. Additionally, this report will describe how major comments submitted by the Coalition and the general community were addressed by EPA in the responsiveness summary.

Remedial Design (Estimate: 80 hours)

The technical advisor will be expected to carry out oversight functions during this stage. The advisor will review the final design to ensure that the design is consistent with the Record of Decision (ROD). The advisor will be expected to report his/her findings in memoranda submitted to the Coalition's Executive Committee. Excerpts about the progress at the site will be published in the Coalition newsletter. The memoranda also will be available in the information repository.

Remedial Action (Estimate: 42 hours)

During the remedial action phase, the advisor will be expected to review the final inspection report. Within 30 days of the completion of the cleanup, the advisor will prepare a final report summarizing his/her findings. This report will be published in the Coalition's newsletter.

Attachment 1.B.
PROPOSED SCHEDULE OF TASKS AND COSTS FOR TECHNICAL ADVISOR(S) (Sample)
(Format Optional)

	Schedule/Tasks	Review Report	Prepare Memo/ Report	Attend Meeting	# of Hours	Cost at \$/hour*	Total Cost of Advisor	Total # of Hours
YEAR 1	Remedial Investigation (RI)							
	• Review work plan	X	X		30	\$ 2,280		
	• Issue evaluation memo				25	\$ 1,900		
	• Attend RI kickoff public meeting			X	8	\$ 608		
	• Review various RI reports (e.g., risk assessment, QA/QC plan, sampling plan)	X	X		52	\$ 3,952		
YEAR 2	• Review RI report and prepare RI evaluation report	X	X		60	\$ 4,560	\$ 12,160	160
	Feasibility Study (FS)							
	• Review health assessment and prepare report	X	X		85	\$ 6,460		
	• Review draft FS and prepare FS evaluation	X	X		60	\$ 4,560	\$ 11,020	145
	Feasibility Study (FS) Continued							
YEAR 3	• Brief Coalition on FS and attend FS meetings	X		X	80	\$ 6,080		
	• Review Coalition comments on FS	X	X		15	\$ 1,140		
	• Review ROD and prepare summary memo	X	X		60	\$ 4,560	\$ 11,780	155
	Remedial Design (RD)							
	• Review pre-final and final design and prepare design evaluation memo	X	X		100	\$ 7,600	\$ 7,600	100
	Remedial Action (RA)							
	• Review pre-final and final inspection reports and prepare cleanup evaluation report	X	X		75	\$ 5,700	\$ 5,700	75
Total Cost of Advisor							\$ 48,260	635
Travel (Site visits and attendance at Woodtown Coalition Meetings and Public Hearings)								
• Mileage (\$.21 per mile)							\$ 500	
• Lodging and Meals (\$100 per diem)							\$ 400	
Total Travel Costs							\$ 900	
Administrative Costs								
• Telephone							\$ 500	
• Postage							\$ 200	
• Copying							\$ 140	
Total Administrative Costs							\$ 840	
TOTAL (Federal Share)							\$ 50,000	

Attachment 1.C.

Detailed Budget For Three Year Budget Period

1. Federal Share:

• Labor (635 hours at \$76 per hour)	\$48,260
• Travel (site visits and attendance at Woodtown Coalition and Public hearings)	
-- Milage (\$.21 per mile)	500
-- Lodging and Meals (\$100 per diem)	400
	900
• Other Costs	
-- Telephone	500
-- Postage	200
-- Copying (Reports/Memos \$.05 per page)	140
	840

Subtotal Federal Share = \$50,000

2. Matching Share:

• Out-of-Pocket Expenditures ("cash")	
-- Incorporation	\$ 422
-- Newsletter (printing and postage for 6 issues, 300 copies each at \$1/copy)	\$ 1,800
-- External Audit (20 hours of accounting @ \$24 per hour)	\$ 480
-- Supplies	\$ 300
• In-Kind Contributions	
-- Writing newsletter (6 issues/40 hours per issue @ \$20 per hour)	\$ 4,800
-- Meeting Space (\$180 per year)	\$ 540
-- Accountant (132 hours at \$24 per hour)	\$ 3,168
-- Newsletter Editor (at \$20 per hour)	\$ 900
-- Xeroxing newsletter (6 issues/1 page each/ 300 copies/.05 per page)	\$ 90

Subtotal Matching Share = \$12,500

TOTAL (Federal and Matching) = \$62,500

EPA will review your budget for excessive "administrative costs" -- that is, costs not directly related to technical advisor or distribution of information. Such costs should normally not exceed 20 percent of your total project costs.

NOTE: Be sure to have your group's project manager sign and date the bottom of this form and give his or her title.

**PART V
ASSURANCES**


The Applicant agrees and certifies that he or she will comply with the regulations, policies, guidelines, and requirements, including OMB Circulars No. A-102 and A-87, and Executive Order 12372, as they relate to the application, acceptance, and use of Federal funds for this Federally assisted project. Also, the Applicant agrees and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or nation origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary source of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to employees of institutions of higher education, hospitals, other non-profit organizations, and to employees of State and local governments who are not employed in integral operations in areas of traditional governmental functions.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency and the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements.
10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.
12. It will comply with all applicable requirements of Section 13 of the Clean Water Act Amendments of 1972 (P.L. 92-500), if the grant is awarded under any grant authority of that Act, which provides that no person in the United States shall, on the ground of sex be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under any program or activity under the said Clean Water Act Amendments for which the applicant receives financial assistance and will take all necessary measures to effectuate this agreement.

*Pat Jones, Executive
Director
July 10, 1990*

**Procurement System Certification
(EPA Form 5700-48)**

[To be submitted with application]

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY WASHINGTON, DC 20460		Form Approved OMB No 2000-0453 Approval expires 10-31-87
 PROCUREMENT SYSTEM CERTIFICATION		
APPLICANT'S NAME Woodtown Landfill Coalition		ASSISTANCE APPLICATION NUMBER
APPLICANT'S ADDRESS Main Street Woodtown, CT 06898		
SECTION I — INSTRUCTIONS		
The applicant must complete and submit a copy of this form with each application for EPA Assistance. If the applicant has certified its procurement system to EPA within the past 2 years and the system has not been substantially revised, complete Part A in Section II, then sign and date the form. If the system has not been certified within the past 2 years, complete Part B, then sign and date the form.		
SECTION II — CERTIFICATION		
A. I affirm that the applicant has within the past 2 years certified to EPA that its procurement system complies with 40 CFR Part 33 and that the system meets the requirements in 40 CFR Part 33. The date of the applicant's latest certification is:		MONTH/YEAR
B. Based upon my evaluation of the applicant's procurement system, I, as authorized representative of the applicant: (<i>Check one of the following:</i>)		
<input type="checkbox"/> 1. <i>CERTIFY</i> that the applicant's procurement system will meet all of the requirements of 40 CFR Part 33 before undertaking any procurement action with EPA assistance		
Please furnish citations to applicable procurement ordinances and regulations		
<input checked="" type="checkbox"/> 2. <i>DO NOT CERTIFY THE APPLICANT'S PROCUREMENT SYSTEM.</i> The applicant agrees to follow the requirements of 40 CFR Part 33, including the procedures in Appendix A, and allow EPA preaward review of proposed procurement actions that will use EPA assistance.		
TYPED NAME AND TITLE Pat Jones Executive Director	SIGNATURE <i>Pat Jones</i>	DATE 07/10/90

**Certification Regarding Debarment, Suspension,
and Other Responsibility Matters
(EPA Form 5700-49)**

[To be submitted with application]



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.

Woodtown Landfill Coalition, Pat Jones, Executive Director

Typed Name & Title of Authorized Representative

Pat Jones

Signature of Authorized Representative

07/10/90

Date

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

TAG Application Checklist

- ☐ Submit a Letter of Intent. (EPA will then publish a public notice informing other groups of your intent to apply as well.)
- ☐ Read the Superfund Technical Assistance Grant (TAG) Handbook 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 applications separately.
- ☐ Contact the appropriate state office (see "References" section for list of state offices) to determine the intergovernmental review requirements for your state. DO THIS EARLY.
- ☐ Complete the grant application package:
 - The grant application form, "State and Local Nonconstruction Programs," (EPA Form 5700-33).
 - "Procurement System Certification," (EPA Form 5700-48).
 - "Certification Regarding Debarment, Suspension, and Other Responsibility Matters," [EPA Form 5700-49 (11-88)], if your group seeks a grant of \$25,000 or more.
- ☐ Submit your application for intergovernmental review if necessary.
- ☐ Send the original version of your completed and signed grant application, and two copies, to your EPA Regional Office while the intergovernmental review process is being completed. (See "References" section for list of EPA Regional Offices).
- ☐ If the grant is awarded, sign and return the grant agreement to EPA within three calendar weeks.
- ☐ If necessary, file the appropriate documents for incorporation with the proper state agency upon receipt of notification of award and prior to signing the grant agreement.

Blank Application Documents

In this section you will find 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 instructions specifically for TAG applicants to use in completing these forms. Pages 1-15 through 1-69 of Part 1 contain step-by-step instructions for completing the grant application as well as sample completed versions of these documents. Wherever 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
{Standard Form 424; EPA Form 5700-33 (rev. 11-86)};
- Procurement System Certification (EPA Form 5700-48); and
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49).

The Application for Federal Assistance
[EPA Form 5700-33 (Rev. 11-86), Standard Form 424]

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION IDENTIFIER	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
1. TYPE OF SUBMISSION (Mark appropriate box) <input type="checkbox"/> NOTICE OF INTENT (OPTIONAL) <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION		b. DATE Year month day 19		NOTE: TO BE ASSIGNED BY STATE b. DATE Year month day 19	
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name b. Organization Unit c. Street/P.O. Box d. City e. County f. State g. ZIP Code h. Contact Person (Name & Telephone No.)		5. EMPLOYER IDENTIFICATION NUMBER (EIN) 6. PROGRAM (From CFDA) a. NUMBER 6 6 * 8 0 6 b. TITLE Superfund Technical Assistance Grant			
7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.) Technical Assistance at:		8. TYPE OF APPLICANT/RECIPIENT A—State B—Interstate C—Substate D—County E—City F—School District G—Special Purpose District H—Community Action Agency I—Higher Educational Institution J—Indian Tribe K—Other (Specify) Enter appropriate letter <input checked="" type="checkbox"/> K Non-Profit Citizen Organization			
9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)		10. ESTIMATED NUMBER OF PERSONS BENEFITING		11. TYPE OF ASSISTANCE A—Basic Grant B—Supplemental Grant C—Loan D—Insurance E—Other Enter appropriate letter(s) <input checked="" type="checkbox"/> A	
12. PROPOSED FUNDING a. FEDERAL \$.00 b. APPLICANT .00 STATE .00 d. LOCAL .00 e. OTHER .00 f. Total \$.00		13. CONGRESSIONAL DISTRICTS OF: a. APPLICANT b. PROJECT 15. PROJECT START DATE Year month day 19 16. PROJECT DURATION Months 18. DATE DUE TO FEDERAL AGENCY Year month day 19		14. TYPE OF APPLICATION A—New B—Renewal C—Revision D—Continuation E—Augmentation Enter appropriate letter <input type="checkbox"/> 17. TYPE OF CHANGE (For 14c or 14e) A—Increase Dollars B—Decrease Dollars C—Increase Duration D—Decrease Duration E—Cancellation F—Other (Specify) Enter appropriate letter(s) <input type="checkbox"/>	
19. FEDERAL AGENCY TO RECEIVE REQUEST a. ORGANIZATIONAL UNIT (IF APPROPRIATE) b. ADMINISTRATIVE CONTACT (IF KNOWN) c. ADDRESS		20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER 21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No			
22. THE APPLICANT CERTIFIES THAT To the best of my knowledge and belief, data in this preapplication/application 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 approved.		a. YES, THIS NOTICE OF INTENT/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 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW <input type="checkbox"/>			
23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE b. SIGNATURE		24. APPLICATION RECEIVED 19 Year month day 25. FEDERAL APPLICATION IDENTIFICATION NUMBER 26. FEDERAL GRANT IDENTIFICATION			
27. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE <input type="checkbox"/> e. DEFERRED <input type="checkbox"/> f. WITHDRAWN		28. FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		29. ACTION DATE 19 Year month day 30. STARTING DATE 19 Year month day 31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 32. ENDING DATE 19 Year month day 33. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	

SECTION IV—REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

Form Approved
OMB No. 2030-0020
Approval expires 7-31-89

PART II

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request State, local, regional, or other priority rating?

Name of Governing Body _____

Priority Rating _____

_____ Yes ☒ No

Item 2.

Does this assistance request require State or local advisory, educational, or health clearances?

Name of Agency or Board _____

_____ Yes ☒ No

(Attach Documentation)

Item 3.

Does this assistance request require clearinghouse review in accordance with Executive Order 12372?

(Attach Comments)

_____ Yes _____ No

Item 4.

Does this assistance request require State, local, regional or other planning approval?

Name of Approving Agency _____

Date _____

_____ Yes ☒ No

Item 5.

Is the proposed project covered by an approved comprehensive plan?

Check one: State ☐

Local ☐

Regional ☐

_____ Yes ☒ No

Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?

Name of Federal Installation _____

Federal Population benefiting from Project _____

_____ Yes _____ No

Item 7.

Will the assistance requested be on Federal land or installation?

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

_____ Yes _____ No

Item 8.

Will the assistance requested have an impact or effect on the environment?

See instructions for additional information to be provided.

This assistance is intended to

facilitate site response actions.

☒ Yes _____ No

Item 9.

Has the project for which assistance is requested caused, since January 1, 1971, or will it cause, the displacement of any individual, family, business, or farm?

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

_____ Yes ☒ No

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

See instructions for additional information to be provided.

_____ Yes _____ No

Item 11.

Is project in a Designated Flood Hazard Area?

_____ Yes _____ No

Form Approved.
OMB No. 2030-0020
Approval expires 7-31-89

PART III--BUDGET INFORMATION						
SECTION A--BUDGET SUMMARY						
GRANT PROGRAM, FUNCTION OR ACTIVITY (a)	FEDERAL CATALOG NO. (b)	ESTIMATED UNOBLIGATED FUNDS		NEW OR REVISED BUDGET		
		FEDERAL (c)	NON-FEDERAL (d)	FEDERAL (e)	NON-FEDERAL (f)	TOTAL (g)
1. Technical Assistance Grant at:	66 • 860	\$	\$	\$	\$	\$
2.			See Detailed Budget in Part IV, Section 2(B)			
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B--SCHEDULE A BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				TOTAL (5)
	(1) Technical Assistance	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits			See Detailed Budget in Part IV, Section 2 (B)		
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

Form 5700-33 (Rev. 11-86) Previous editions are obsolete

SECTION B - SCHEDULE B - BUDGET CATEGORIES

6. Program Elements	FUNDING			(4)
	(1) FEDERAL	(2) NON-FEDERAL	(3) TOTAL	MAN-YEARS
a. Technical Assistance at:	\$	\$	\$	
b.	See Detailed Budget in Part IV, Section 2(B)			
c.				
d.				
e.				
f.				
g.				
h.				
i. Total Program Elements	\$	\$	\$	
j. STATE TOTAL	\$	\$	\$	

Form Approved.
OMB No. 2030-0020
Approval expires 7-31-89

SECTION C--NON-FEDERAL RESOURCES					
(a) GRANT PROGRAM	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS	
8. Technical Assistance at:	\$	\$	\$	\$	
9.	See Detailed Budget in Part IV, Section 2(B)				
10.					
11.					
12. TOTALS	\$	\$	\$	\$	

SECTION D--FORECASTED CASH NEEDS				
TOTAL FOR 1st YEAR	1st QUARTER	2nd QUARTER	3rd QUARTER	4th QUARTER
13. Federal	\$	\$	\$	\$
14. Non-Federal				
15. TOTALS	\$	\$	\$	\$

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. TOTALS	\$	\$	\$	\$

SECTION F--OTHER BUDGET INFORMATION (Attach Additional Sheets If Necessary)	
21. Direct Charges:	NA
22. Indirect Charges:	NA
23. Remarks:	

PART IV - Narrative Project Statement

Part IV consists of two sections. The first section, "Group Qualifications," is used by EPA to obtain information about your group's eligibility, characteristics, and plans for using grant funds.

The second section of Part IV is the Narrative Statement of Work for the technical advisor(s). In this section, your group describes how a grant award would be used with respect to Superfund technical milestones (for example, review of the Remedial Investigation Report) and provides your proposed budget.

To help determine projected tasks for your advisor and a tentative schedule in preparing the Statement of Work, you are encouraged to review the pamphlets on the Superfund and TAG Programs and the fact sheet entitled "Summary of Public Documents Prepared During the Remedial Process" that accompany this handbook. Also, review the Introduction to this handbook, which discusses the role of the technical advisor(s) and the sample application in the "Sample Documents" section of Part 1. For each task indicated in the Statement of Work, you will need to estimate the amount of review time to be allotted to your technical advisor(s).

Section 1 (Group Qualifications)

A. Group Eligibility

1. Is your group part of any of the following organizations? If the answer is yes, check the categories below that apply.

- ☐ Potentially Responsible Parties;
- ☐ Academic Institutions;
- ☐ Political Subdivisions (e.g., townships and municipalities; or local government); and
- ☐ Groups established and/or sustained by a state or local government.

PART IV - Narrative Project Statement (continued)

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?

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 technical advisor.)

PART IV - Narrative Project Statement (continued)

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.)

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

PART IV - Narrative Project Statement (continued)

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.

PART IV - Narrative Project Statement (continued)

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. Does your group have a substantial history of involvement at the site? _____ (yes/no) (If so, please include a brief description of your group's involvement.)
7. **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.
- 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 affected individuals affected by the site.

PART IV - Narrative Project Statement (continued)

-
-
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?

PART IV - Narrative Project Statement (continued)

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 - Narrative 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. (See Attachments 1.A. and 1.B. in the Sample Grant Application for one way of doing this.)

PART IV - Narrative Project Statement (continued)

- 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.

This budget should show the amount of the group's matching contribution separately from federal funds. (See Attachment 1.C. in the Sample Grant Application for one way of doing this.) 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.

As discussed on pages 1-24, 1-25, and in Part 3, goods or services not identified in this budget, which you later want to accept or purchase, will require written approval from EPA. This includes goods and services in the matching share.


NOTE: Be sure to have your group's project manager sign and date the bottom of this form and give his or her title.

PART V ASSURANCES

The Applicant agrees and certifies that he or she will comply with the regulations, policies, guidelines, and requirements, including OMB Circulars No. A-102 and A-87, and Executive Order 12372, as they relate to the application, acceptance, and use of Federal funds for this Federally assisted project. Also, the Applicant agrees and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or nation origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary source of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to employees of institutions of higher education, hospitals, other non-profit organizations, and to employees of State and local governments who are not employed in integral operations in areas of traditional governmental functions.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency and the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements.
10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards.
12. It will comply with all applicable requirements of Section 13 of the Clean Water Act Amendments of 1972 (P.L. 92-500), if the grant is awarded under any grant authority of that Act, which provides that no person in the United States shall, on the ground of sex be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under any program or activity under the said Clean Water Act Amendments for which the applicant receives financial assistance and will take all necessary measures to effectuate this agreement.

**Procurement System Certification
(EPA Form 5700-48)**

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY WASHINGTON, DC 20460		Form Approved OMB No 2000-0453 Approval expires 10-31-87
 PROCUREMENT SYSTEM CERTIFICATION		
APPLICANT'S NAME	ASSISTANCE APPLICATION NUMBER	
APPLICANT'S ADDRESS		
SECTION I — INSTRUCTIONS		
The applicant must complete and submit a copy of this form with each application for EPA Assistance. If the applicant has certified its procurement system to EPA within the past 2 years and the system has not been substantially revised, complete Part A in Section II, then sign and date the form. If the system has not been certified within the past 2 years, complete Part B, then sign and date the form.		
SECTION II — CERTIFICATION		
A. I affirm that the applicant has within the past 2 years certified to EPA that its procurement system complies with 40 CFR Part 33 and that the system meets the requirements in 40 CFR Part 33. The date of the applicant's latest certification is:		MONTH/YEAR
B. Based upon my evaluation of the applicant's procurement system, I, as authorized representative of the applicant: <i>(Check one of the following:)</i>		
<input type="checkbox"/> 1. CERTIFY that the applicant's procurement system will meet all of the requirements of 40 CFR Part 33 before undertaking any procurement action with EPA assistance		
Please furnish citations to applicable procurement ordinances and regulations		
<input type="checkbox"/> 2. DO NOT CERTIFY THE APPLICANT'S PROCUREMENT SYSTEM. The applicant agrees to follow the requirements of 40 CFR Part 33, including the procedures in Appendix A, and allow EPA preaward review of proposed procurement actions that will use EPA assistance.		
TYPED NAME AND TITLE	SIGNATURE	DATE

**Certification Regarding Debarment, Suspension,
and Other Responsibility Matters
(EPA Form 5700-49)**



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.