



United States  
Environmental Protection  
Agency

Small and Disadvantaged  
Business Utilization  
(1230A)

EPA-180-B-001  
June 2001

# Doing Business with EPA The 2K1 Edition



**Small Business - Making A Difference**

## **FORWARD**

"Doing Business with EPA" is a publication designed to familiarize small, small disadvantaged, 8(a), hubzone, women-owned, service disabled veteran and tribal firms, non-profit organizations, Historically Black Colleges and Universities, Hispanic Colleges and Universities and other Minority Institutions with the U.S. Environmental Protection Agency's Procurement and Assistance Programs.

"Doing business with EPA" is now enhanced and expanded to provide you with a more comprehensive perspective of EPA. This publication is intended to assist socioeconomic entities seeking to do business with EPA. This guide is issued by the Office of the Administrator, Office of Small and Disadvantaged Business Utilization (OSDBU). OSDBU is responsible for the implementation of EPA's activities on behalf of socioeconomic firms in accordance with Public Law 95-507, Public Law 100-656 and Executive Order 12138. As such, EPA's OSDBU is committed to improving and increasing the involvement of these socioeconomic entities in the Agency's overall acquisition/financial assistance programs. You can obtain a copy by writing to OSDBU, at 1200 Pennsylvania Avenue, N.W., (1230A), Washington, D.C. 20460, or visit our Internet homepage at: <http://www.epa.gov/osdbu/pubs.htm>.

We hope that this publication is helpful to you as you seek to do business with EPA.

*Jeanette L. Brown*

Director  
Office of Small and Disadvantaged  
Business Utilization

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## **EPA'S MISSION**

The U.S. Environmental Protection Agency (EPA) was established as an independent agency in the Executive Branch of the U.S. Government, pursuant to Reorganization Plan No. 3 of 1970, effective December 2, 1990. EPA was created to enable coordinate effective Government action on behalf of the environment. EPA endeavors to achieve control and abatement of pollution, by properly administering and integrating a variety of research, monitoring, standard-setting, and enforcement activities.

EPA also provides coordination and support for research and antipollution activities conducted by State and local governments, private and public groups, individuals, and educational institutions. In addition, EPA reinforces efforts on the part of other Federal agencies to assess the impact of their operations on the environment. EPA furnishes written comments on environmental impact statements and publishes its findings, especially when the findings reveal that a proposal is unsatisfactory from the standpoint of public health, welfare or environmental treatment. In all, EPA is designed to serve as the public advocate for a safe, habitable environment.

## **OSDBU'S MISSION**

The OSDBU has responsibility within the Agency for policy, procedures and oversight of the implementation of programs described under Sections 8 and 15 of the Small Business Act as Amended and Executive Orders 12073, 12432 and 12138 relating to preference programs for small, small disadvantaged, women-owned, hubzone firms.

The Office develops, in collaboration with the Director, Office of Acquisition Management, Director, Office of Grants and Debarment and other appropriate EPA Program Officials, programs to stimulate and improve the involvement of socioeconomic businesses, HBCU's and other minority institutions of higher education in the Agency's overall acquisition process.

The Office is responsible for assuring that small, small disadvantaged, minority, women-owned, hubzone firms, HBCU's and minority institutions of higher education are given an equitable opportunity to receive a "fair share" of subagreements during the procurement phase of certain types of financial assistance awarded by the Agency. In addition, OSDBU is responsible for internal training programs to enhance the capabilities of socioeconomic firms. The Office serves as a focal point for ascertaining programs to help socioeconomic firms to become more competitive and viable in procurements awarded under EPA Environmental Clean Up Programs. The Office also provides assistance in meeting the Agency's Environmental Justices goals through out the procurement process.

OSDBU serves as an advocate, counselor, trainer and liaison to the small business community. The services are administered through participation in outreach activities including interagency sponsored conferences, one-on-one counseling and group training seminars.

## **ACQUISITION AND ASSISTANCE AGREEMENTS**

EPA use various acquisition and assistance agreements to implement its activities. Contracts, grants, cooperative agreements, and purchase orders are some of the instruments which are negotiated and signed nationwide by EPA. These instruments provide a variety of commodities and technical assistance to support the attainment of the Agency's objectives.

It is important to note the distinction between assistance and acquisition for procurement purposes. Acquisition refers to obtaining goods and services, through various types of contracts, for use or benefit of the agency. Acquisitions are governed by the Federal Acquisition Regulation (FAR), the EPA Acquisition Regulation (EPAAR) and the Contracts Management Manual (CMM). Financial Assistance refers to the transfer of funds from EPA to another party for the implementation of programs which will contribute to the public good. Assistance is governed by U.S. EPA Regulations contained in 40 CFR Parts 30, 31, and 35.

### **PREFERENTIAL PROCUREMENT PROGRAMS**

Federal agencies are required by law to give preference to certain kinds of businesses in the awarding of contracts. Certain terms and their meaning must be understood relative to socioeconomic business development activity.

- **Small Business Concern.** A business qualifies as being small if it, including its affiliates, is independently owned and operated, is not dominant in the area of business in which it is bidding on Government contracts, and qualified as a small business under the criteria and size standards of 13 CFR Part 121 (See FAR 19.102).
- **Small Disadvantaged Business Concern.** A small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian Tribe or Native Hawaiian Organization, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one of these entities, that has its management and daily business controlled by members of an economically disadvantaged Indian Tribe or Native Hawaiian organization, and that meets the requirements of 13 CFR 124.
  - (A) **Socially Disadvantaged Individuals.** Individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

- (B) **Economically Disadvantaged Individuals.** Individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not socially disadvantaged. Individuals who represent that they are members of named groups (Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, HUBZone, Veterans, Tribes) are to be considered socially and economically disadvantaged. Individuals who are not members of these setups may also...
  - **Woman-Owned Small Business Concern.** A small business concern which is:
    - (A) At least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
    - (B) Whose management and daily business operations are controlled by one or more women.
  - A price evaluation preference is established not in excess of 10 percent for socially and economically disadvantaged business concerns in unrestricted solicitations.
- (FASA Section 7102, Contracting Progress)
- **Nonmanufacture Rule.** A contractor under a small business set-aside or 8(a) contract shall be a small business under the applicable size standard and shall provide either its own product or that of another domestic small business manufacturing or processing concern (see 13 CFR 121.406).
  - **Handicapped Individual.** A person who has a physical, mental, or emotional impairment, defect ailment, disease, or disability of a permanent nature which in any way limits the selection of any type of employment for which the person would otherwise be qualified or qualifiable.
  - **Public or Private Organization for the Handicapped.**
    - (A) Is organized under the laws of the United States or of any State, operated in the interest of handicapped individuals, the net income of which does not inure in whole or in part of the benefit of any shareholder or other individual;
    - (B) Complies with any applicable occupational health and safety standards prescribed by the Secretary of Labor; and
    - (C) Employs in the production of commodities and in the provision of services, handicapped individuals for not less than 75 percent of the direct labor required for the production or provision of the commodities or services.



If your firm qualifies under any of these categories, please forward a copy of your capability statement and SF-129 to OSDDBU for distribution to our program and contracting officers. Your capability statement will also be helpful in developing a source list for upcoming acquisitions which could result in increased business opportunities for your firm. Please mail your capability statement to:

***Office of Small and Disadvantaged Business Utilization***  
1200 Pennsylvania Avenue, N.W. (1230A)  
Washington, D.C. 20460  
(202) 564-4100

## **REGULATIONS GOVERNING EPA ACQUISITIONS**

The Federal Acquisition (FAR) is issued under the joint authorities of the Administrator of the General Services Administration (GSA), the Secretary of Defense, and the Administrator for the National Aeronautics and Space Administration, under the broad policy guidelines of the Administrator for the Office of Federal Procurement Policy (OFPP). EPA implements and supplements the FAR through the EPA Acquisition Regulations (EPAAR), Title 48, Chapter 15.

The FAR is applicable to the Federal civilian agencies and the Department of Defense (DOD) and is codified in the Code of Federal Regulations, Title 48, Chapter 1, (Federal Acquisition Regulation (FAR) System).

## **COMPETITION FOR EPA CONTRACTS**

Generally, purchases are made either by sealed bidding or competitive proposals (negotiation). EPA seeks to obtain full and open competition for the acquisition of supplies and services necessary to meet its requirements. Suppliers are notified of EPA's requirements that are expected to exceed \$25,000 through announcements in the "Commerce Business Daily" published by the Department of Commerce. Commerce's website address can be found on page 13 of this document.

Sealed bidding is performed in accordance with the FAR, Part 14 as supplemented by EPAAR, Part 1514. The competitive proposal process (negotiation) is governed by FAR, Part 15s supplemented by EPAAR, Part 1515.

## **PURCHASE CARD ACQUISITIONS**

The Government's Purchase Card is also called the "Smart Pay Card". The cards are issued to many government employees under a delegation of procurement authority to make certain types of routine purchases. The primary usage of the card is for supplies at or below the \$2,500 threshold, which is commonly referred to as the micro-purchases level. However, agency procurement personnel can use the card up to the level of their warrants, generally up to \$25,000 per purchase.

Each Federal agency was allowed to select from a predetermined pool of vendor banks for its Smart Pay Card, with November 30, 1998 as the effective date. The EPA award went to NationsBank and VISA for its purchase card program. Merchants who want information about accepting Smart Pay Cards should contact NationsBank for assistance. The NationsBank Customer Service phone number is 1-800-472-1424.

### **Typical EPA Smart Pay Card purchases include:**

- ☺ Computer parts, supplies, training
- ☺ Subscriptions, books and magazines
- ☺ Field equipment, supplies, hardware, rentals
- ☺ Laboratory equipment and supplies
- ☺ Repair services
- ☺ Fax, copier machines
- ☺ Conference room rentals

It is EPA policy to always encourage the selection of small business concerns over large businesses when making any purchases, including those using the Government Purchase Card.

### **SEALED BIDDING**

The Sealed Bidding method of acquisition is used in those instances where time permits the solicitation, submission, and evaluation of sealed bids. Awards will be made on the basis of price-related factors only; it is not necessary to conduct discussion with the bidders.

### **NEGOTIATION METHOD**

The negotiation method of acquisition is used in those instances where it is impractical to obtain the supplies or services by sealed bidding.

### **SMALL PURCHASES**

#### **What Is A Simplified Acquisition?**

A simplified acquisition is the purchase of supplies or services valued between \$2,500 and \$100,000 and up to \$5,000,000 for commercial items purchased in accordance with the Test Program for Commercial Items (see **FAR Subpart 13.5**)

#### **Simplified Acquisitions Threshold**

The simplified acquisitions threshold is \$100,000 for the purchase of supplies or services. The simplified acquisitions threshold for the purchase of commercial items is \$5,000,000, including options.

#### **What is a Smart Pay Card Purchase?**

A smart pay card purchase is any acquisition of supplies or services (except construction) that does not exceed \$2,500. In the case of a micro-purchase for construction, the acquisition threshold is limited to \$2,000 (see **FAR Subpart 2.1**).



The use of a Government-wide commercial purchase card is the preferred method to purchase and pay for smart pay card purchases. Agency personnel who have individual warrant authority to use a Government commercial purchase card may make purchases up to the smart pay card purchase threshold (\$2,500). Purchases may not exceed individual warrant limitations.

#### **Acquisitions At or Below the Smart Pay Card Purchase Threshold**

The smart pay card purchases at or below the smart pay card purchase threshold are not limited to small businesses (see FAR Subpart 13.201).

#### **Acquisitions Above the Smart Pay Card Purchase Threshold**

The smart pay card purchase threshold is \$2,500 for supplies or services, except construction. The smart pay card purchase threshold for construction is \$2,000. Acquisitions above \$2,500 and not exceeding \$100,000 are set-aside for small businesses if there are 2 or more qualified small businesses (see FAR 13.003).

Simplified acquisitions between \$10,000 and \$25,000 must be displayed in a public place, including on an electronic bulletin board or any other appropriate electronic means located at the contracting office where the solicitation is being issued. In addition, requirements at or above \$25,000 must be synopsisized in the Commerce Business Daily unless one of the exceptions in FAR 5.202(a)(1-14) exist. See FAR 5.201 and FAR 5.203 for additional information.

#### **What are Simplified Acquisition Procedures?**

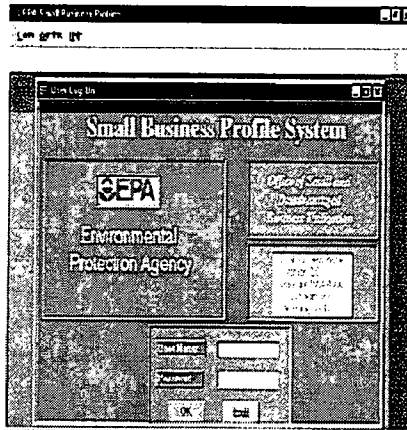
Simplified acquisition procedures are methods of making purchases of supplies or services as prescribed in FAR Part 13. The methods include: blanket purchase agreements, fast payment procedures, imprest funds, purchase orders, smart pay card purchases (formerly known as bankcard), Test Programs for Certain Commercial Items, Government-wide Agency Contracts (GWACs), and other Agency authorized methods.

#### **Blanket Purchase Agreements**

A blanket purchase agreement (BPA) is a simplified method of filling anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified sources of supply. Generally, a BPA should be established with local sources to make individual purchases effectively, efficiently, and with less paperwork. BPAs shall not exceed \$100,000 over a three year period. BPAs are designed to reduce administrative costs in acquiring repetitive supplies or services by eliminating the need for issuing individual purchase orders. See FAR Subpart 13.3 for additional information.

## **SMALL BUSINESS VENDOR PROFILE SYSTEM**

The Small Business Vendor Profile System is designed to collect and display demographic information concerning businesses registered with EPA's OSDBU. The system captures information relating to the following types of businesses: Small Businesses; Small Disadvantaged Businesses; 8(a) Certified Businesses; Women-Owned Businesses; Large Businesses; HUBZones, Service Disabled Veterans, American Indian/Alaskan Native Economic Enterprises, Veterans, Historically Black Colleges and Universities, Hispanic American Colleges and Universities and Minority Institutes.



Register  
with EPA  
thru the  
Internet

Through the System, companies can register, review, and print small business demographic information (i.e., Queries and Reports, Data Entry, and Document Imaging). It contains a document-imaging component that allows you to index, search, and retrieve documents. Imaging 95 performs the scanning for windows or any other scanner that creates an image in a "TIF" format. Once scanned, the images are imported and indexed by the system for retrieval.

The system also provides a variety of information, i.e., company profiles, business card information, and specialized reports to name a few. The specialized reports include Standard Queries, such as lists of companies that are Small Disadvantaged, Large, Small Women-Owned, 8(a), and HBCUs. You can view these reports at the click of a button. The specialized reports also include Ad Hoc Queries (for companies and business cards) and it can print a Small Business Directory for any type of business requested.

The Small Business Vendor Profile System is an Internet-based system. Participating firms will be sent a letter of confirmation with your company's password and user-ID. With this information you may go into the system and maintain your company's profile at anytime to include current information.

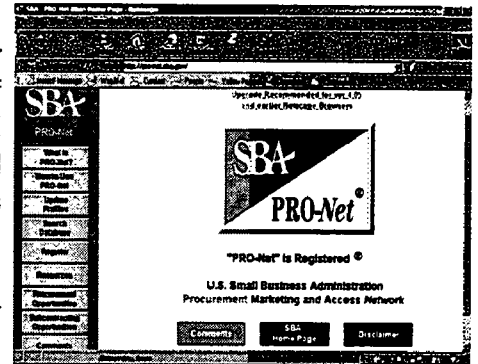
You may register your company at OSDBU's website address: <http://www.epa.gov/osdbu> and click the Small Business Registration button. If you have any questions, please contact Denean Jones, Database Manager at 202-564-4142.

The system is **free of charge** to all participating businesses.

## **PRO-NET**

The Small Business Administration (SBA) has implemented the PRO-Net System. This system allows for self registration via the Internet. This system has replaced the Procurement Automated Source System (PASS). You may register your company at PRO-Net's website address: <http://pronet.sba.gov>.

- PRO-Net is a virtual one-stop procurement shop for government contracting. The database is free of charge to Federal and state agencies, and prime and other contractors. It assists them in locating small business contractors and subcontractors, as well as partnership opportunities with small businesses.
- PRO-Net is an electronic search engine for contracting officers, as well as a marketing tool and link to procurement opportunities and other important information for small businesses.
- Each profile is structured like an executive business summary and includes the company's products and services, history, references and other information important to potential contracting entities. A key feature of the system is that participating firms can continually update their profiles with the most current information—including new products, services and contract awards.
- PRO-Net is an Internet-based system. Participating firms with e-mail addresses can be sent communications and procurement opportunities electronically.
- The PRO-Net system is currently free of charge to all participating small businesses.
- Participating companies with homepages can include a link to their website in their PRO-Net profile, providing additional information to contracting officers about the company.
- As an electronic gateway, PRO-Net is linked to the Commerce Business Daily, government agency homepages and other sources of procurement opportunities.



SBA is located at 409 3<sup>rd</sup> Street, S.W., Washington, D.C. 20416. You may also contact your nearest District SBA Office with further questions.

## **ELECTRONIC SERVICES - EC/EDI**

### **What is Electronic Commerce (EC)?**

Electronic Commerce (EC) is the paperless exchange of business information, using Electronic Data Interchange (EDI), electronic mail, electronic bulletin boards, electronic funds transfer, and other similar technologies.

### **What is Electronic Data Interchange (EDI)?**

Electronic Data Interchange (EDI), a major part of Electronic Commerce (EC), is the computer-to-computer exchange of business data in a standardized format.

### **What are the major benefits of EDI?**

- ▶ Increased business opportunities through wider distribution of procurement information;
- ▶ Improved quality through improved record-keeping, fewer errors in data, reduced processing delays, less reliance on human interpretation of data, and minimized unproductive time;
- ▶ Greater competition and reduced prices;
- ▶ Savings from reduction of inventories, mailroom sorting/distribution time, elimination of lost documents, and reduction of postage and other mailing costs;
- ▶ Reduced order time; and
- ▶ Better and more up-to-date information for management decision making.

### **What is necessary to begin using EDI?**

Should you intend to become fully EDI-capable, you will need a personal computer, a modem, ANSI X12 compliant EDI translation software or access to an EDI translation service, EDI implementation conventions, and a subscription to a Value Added Network (**VAN**).<sup>1\*</sup> However, should you opt not to become fully EDI-capable, it is possible for you to exchange EDI transactions with the Government through the use of services provided by Value Added Service (VAS) providers. Such services (EDI-to-Fax, for example) allow you to participate in the Government EDI-based acquisition efforts without investing in EDI-related computer hardware and software.

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<sup>1\*</sup>**VAN** price and services list can be found on the Internet at: <http://www.state.gov> (there is a link to the San Antonio (ECRC)).

Further, you will need to secure the following identification numbers for your business:

- ☛ DUNS number assigned by Dun and Bradstreet, 1800-333-0505;
- ☛ CAGE code assigned by the Defense Logistics Service Center if you intend to do business with the Department of Defense, 616-961-4955; if you currently do business with DOD, you should already have a CAGE code; and
- ☛ Tax Identification Number (TIN) assigned by the Internal Revenue Service, 1-800-829-1040.

### **ELECTRONIC COMMERCE RESOURCES CENTERS (ECRCS)**

Atlanta, CA	(404) 894-9500	<a href="mailto:robert.fulton@me.gatech.edu">robert.fulton@me.gatech.edu</a>
Bremerton, WA	(206) 478-0333	<a href="mailto:wilson@ctc.com">wilson@ctc.com</a>
Cleveland, OH	(800) 991-3272	<a href="mailto:byron.toth@camp.org">byron.toth@camp.org</a>
Dayton, OH	(513) 449-6060	<a href="mailto:ihoman@coole.sinclair.edu">ihoman@coole.sinclair.edu</a>
Fairfax, VA	(703) 691-1507	<a href="mailto:dervin@fecrc.com">dervin@fecrc.com</a>
Johnstown, PA	(800) 231-2772	<a href="mailto:molchany@ctc.com">molchany@ctc.com</a>
Oakland, CA	(510) 748-6850	<a href="mailto:byoung@ecrc.gmu.edu">byoung@ecrc.gmu.edu</a>
Orange, TX	(409) 882-3950	<a href="mailto:darena@oecrc.org">darena@oecrc.org</a>
Palestine, TX	(800) 209-2772	<a href="mailto:mlabeau@ptxecrc.com">mlabeau@ptxecrc.com</a>
San Antonio, TX	(210) 732-1141	<a href="mailto:butch@saecrc.org">butch@saecrc.org</a>
Scranton, NY	(800) 572-3272	<a href="mailto:linnm1@lion.uofs.edu">linnm1@lion.uofs.edu</a>

### **GSA FEDERAL SUPPLY SCHEDULES**

Before directly procuring from commercial sources, EPA must determine whether or not the required supplies or services are available from a Federal Supply Schedule established by the General Services Administration (GSA). Firms interested in doing business as a Federal Supply Services Contractor should contract the GSA Business Services Center at 18<sup>th</sup> & F Streets, N.W., Room 629, Washington, D.C. 20046. GSA may also be reached on the Internet at: <http://www/fss/gsa.gov>.

### **SUBCONTRACTING**

For the most part, EPA publishes in the Commerce Business Daily both intended procurements and awards of procurements. Publishing this information is required by the Federal Acquisition Regulation (FAR), and it allows small businesses to identify business opportunities and potential joint venture and subcontracting partners.

The FAR requires that prime contracts exceeding \$500,000 (\$1M for construction of public facility) have a Small Business Subcontracting Plan, if the Contracting Officer has determined the procurement has components that can be subcontracted, and if the awardee is other than a small business.

FAR19.704 and FAR 52.219-9 require the Small Business Subcontracting Plan to express subcontracting goals in terms of both percentages and dollars for small businesses, small disadvantaged businesses, hubzone businesses and women-owned small businesses. The

Plan must also identify the contractor's employee who will administer the Subcontracting Plan, with details of his/her duties; the procedures the contractor will apply to small businesses, small disadvantaged businesses, hubzone businesses and women-owned small businesses; the assurance that records will be maintained for review by the contracting agency and the U.S. Small Business Administration (SBA); and the assurance that FAR-required subcontracting reports will be submitted to the contracting agency.

The subcontracting reports are used by both the contracting agency and the Federal Procurement Data Center to measure the contractor's achievement of the subcontracting goals expressed in the Small Business Subcontracting Plan.

A prime contractor's performance in implementing a Subcontracting Plan and in achieving goals expressed therein are part of "past performance" evaluations that are considered for future awards.

### **COMPETITION ADVOCATE**

The EPA fully supports Part 7 of Public Law 98-369, Competition in Contracting Act of 1984. It is the Agency's policy to maximize competition. As such, the Director of the Office of Acquisition Management (OAM) has appointed an Agency Competition Advocate who is responsible for dismantling barriers which reduce the opportunity for promoting full and open competition in the acquisition of products and services by the Agency. The Forecast of Business Opportunities is available on the internet at: <http://www.epa.gov/oam>. Requests for further information concerning Headquarters acquisitions should be addressed to:

***Competition Advocate***  
Office of Acquisition Management  
1200 Pennsylvania Avenue, N.W. (3801R)  
Washington, D.C. 20460  
(202) 564-4321

### **ALTERNATIVE DISPUTES RESOLUTION**

The Administrative Dispute Resolution Act of 1990 and the National Performance Review of 1993 encourage agencies to use Alternative Dispute Resolution (ADR) techniques in resolving disputes. Executive Order 12979, Agency Procurement Protest, signed October 26, 1995, calls for agency heads to establish administrative procedures for resolving bid protests at the agency level "as an alternative" to outside protest forums.

Formal litigation of these matters is a long and costly process that often establishes an adversarial relationship between the Government and the private sector. ADR, on the other hand, includes a wide range of resolution techniques, tends to be less costly, and is far more efficient than litigation. It also keeps resolution of the matter within the control of the disputants. The parties choose the ADR method of resolution; establish the rules of engagement; determine who will be the decision makers; define the issues; and otherwise control the entire process.

Some of the ADR techniques that may be used include mediation, fact finding, and arbitration. Resolution of the matter is approached from a "partnership" standpoint, with a common goal to preserve the business relationship and avoid the costs and delays so often experienced in formal litigation. We encourage the use of ADR whenever possible.

### **UNSOLICITED PROPOSALS**

An important method of doing business with EPA is through the submission of relevant new ideas and concepts in the form of unsolicited proposals. Familiarity with EPA programs and projects may reveal the existence of a mutual interest. If such mutual interest exists, submitting an unsolicited proposal may be appropriate. Unsolicited proposals should be sent to the Grants Administration Division (GAD) for review and consideration. The address for GAD is as follows:

***Grants Administration Division***  
U.S. Environmental Protection Agency  
1200 Pennsylvania Avenue, N.W. (3903R)  
Washington, D.C. 20460  
(202) 564-5315

### **ARCHITECT-ENGINEER**

EPA has established an Architect-Engineer Selection Board to support its full range of facilities and construction management activities. The Board reviews the qualifications of firms interested in performing architectural or engineering work and related services. The Architect-Engineer Selection Board maintains a list of qualified firms for various types of projects.

Firms are encourage to keep their architect-engineer qualification information current, preferably on an annual basis. Architect-Engineer requirements are processed in accordance with FAR Part 36 and EPAAR Part 1536.

### **COMMERCE BUSINESS DAILY**

The EPA synthesizes its contracting requirements in the Commerce Business Daily (CBD). Every Monday through Friday, the Department of Commerce publishes a list of proposed Government procurement, subcontracting leads, contract awards, and foreign business opportunities.

To subscribe to the CBD, you may contact the Superintendent of Documents, U.S. government Printing Office, Washington, D.C. 20402, and from field offices of the Department of Commerce. The CBD also is available at most large Public and Federal libraries and can be accessed on the Internet at: <http://www.govcon.com>.



# Office of Acquisition Management Organization Chart

**Director**  
(202) 564-4310

**Deputy Director (ACTING)**  
(202) 564-5020

**Policy, Training, &  
Oversight Division**  
(202) 564-4428

**HQs Procurement  
Operations Division**  
(202) 564-4348

**Superfund/RCRA  
Regional Procurement  
Operations Division**  
(202) 564-4325

**RTP  
Contracts  
Management  
Division**  
(919) 541-3045

**CINN  
Contracts  
Management  
Division**  
(513) 487-2026

# **OFFICE OF ACQUISITION MANAGEMENT PROFILE**

## **IMMEDIATE OFFICE** - Washington, D.C.

The Office of Acquisition Management (OAM) under the supervision of the Director is responsible for the policies, procedures, operations and support of the Agency's procurement and contracts management program, from contract planning through closeout. In addition, it is responsible for managing and formulating OAM's budget; performing special projects; and managing Office activities. The Director serves as the Agency's Procurement Executive. The Competition Advocate is responsible for reviewing acquisition plans and justifying the need for other than full and open competition; reviewing and coordinating protest files; performing acquisition management reviews in conjunction with PTOD; serving as liaison to the Office of Small and Disadvantaged Business Utilization to ensure appropriate utilization of preferential procurement programs in Headquarters procurement operations, and providing advice to contract operations. The Automation Service Center is responsible for managing office system hardware and software including Local Area Network (LAN); managing operational modules of the Integrated Contract Management System (ICMS), Small Purchase Electronic Data Interchange (SPEDI), Contract Delivery Order Tracking System (CDOTS), and other automated procurement systems; preparing short and long-term ADP plans; and coordinating ADP-related training.

## **Policy, Training and Oversight Division**

The Director oversees the five services centers within the Policy, Training and Oversight Division. The immediate office is also responsible for the Division's Administrative and budgetary functions.

### **Policy Service Center**

This Center is responsible for issuing and interpreting Federal and Agency acquisition regulations and directives (including cost and financial policy); reviewing and recommending deviations to procurement regulations; managing environmental contracting issues; representing EPA on the Civilian Agency Acquisition Council; representing EPA on the DOD Environmental Committee; responding to Freedom of Information Act requests; providing a depository for bid and proposal receipt; distributing solicitations and contract documents; maintaining standard and optional forms; and managing a centralized file room for official contract files.

### **Internal Oversight Service Center**

This Center is responsible for implementing the management controls process for the Division; coordinating FMFIA reporting and guidance for OAM; conducting Acquisition Management Reviews; conducting pre-award file reviews; maintaining the contractor past performance system; handling conflict of interest (COI) issues under all agency contracts, coordinating all audit tracking and follow-up; administering the Agency's Government Purchase Card Program; and coordinating with the Office of Grants and Debarment's Suspension and Debarment Division.

### **Acquisition Training Service Center**

This Center is responsible for policy and guidance on the Agency Procurement Professional Program; Contracting Officer Warrant Program; Certification of Contracting Officer Representatives; providing acquisition/contract management training, course registration, certification, and Contracting Officer Warrants; managing the annual contract management awards program; and coordinating the annual Acquisition Training Conference and other procurement training sessions.

### **Financial Analysis Service Center**

This Center is responsible for performing financial monitoring reviews; managing direct cost and contract-specific audits; managing and performing Contractor Purchasing System Reviews; following-up on all contract cost audits; assisting contracting offices with resolution of specific contract audits; assisting contracting offices and resolution of specific contract issues, closeouts, settlements, etc.; and coordinating audit issues, audit policies, and planning for necessary audits with DCAA and EPA's OIG.

### **Cost and Rate Negotiation Service Center**

This Center is responsible for reviewing and approving indirect cost rates; performing quality assurance reviews of the cost advisory functions; administering Agency cost accounting standards matters; addressing cross-cutting administrative contracting officer issues such as accounting billing systems, policies, etc.; and performing contract property administration functions.

## **HEADQUARTERS PROCUREMENT OPERATIONS DIVISION**

The Director oversees the four service centers within the Headquarters Procurement Operations Division. The immediate office is also responsible for the Division's administrative and budgetary functions.

### **Administrative Contract Service Center**

This Center is responsible for placing and managing contracts in support of the Office of Policy, Planning, and Evaluation; the Global Climate Change Program in the Office of Air and Radiation; the Office of Administration and Resources Management with the exception of the Office of Information and Resources Management; and the Office of the Chief Financial Officer. This Center also processes simplified acquisition actions in support of these programs and performs contract closeout functions.

### **Program Contract Service Center**

This Center is responsible for placing and managing contracts in support of the Office of the Administrator; the Office of Prevention, Pesticides, and Toxic Substances; the Office of International Activities the Office of Enforcement and Compliance Assurance; the Office of the Inspector General; and the Office of General Counsel. This Center also processes simplified acquisition actions in support of these programs and performs contract closeout functions.

### **ADP Contract Placement Service Center**

This Center is responsible for placing all contracts for ADP equipment, support services, software development, and other related Information Technology supplies and services for EPA-wide program offices. In addition, this Service Center processes ADP-related small purchase actions.

### **ADP Contract Management Service Center**

The Center is responsible for managing contracts for ADP equipment, support services, software development, and other Information Technology supplies and services for EPA-wide program offices. In addition, this Service Center performs contract closeout functions.

## **SUPERFUND/RCRA REGIONAL PROCUREMENT OPERATIONS DIVISION**

The Director oversees the four Service Centers within the Superfund/RCRA Procurement Operations Division. The Director is the Chief of the Contracting Office (CCO) and responsible for those actions that require CCO approval. The reviews are conducted in the appropriate Service Center prior to CCO review. The Director's Office is also responsible for the Division's administrative and budgetary functions.

### **Headquarters Contract Service Center**

This Center is responsible for placing and managing Office of Solid Waste and Emergency Response (OSWER) Headquarters contracts involving policy and regulatory support. The Center is broken into two components. The Placement Section and the Administrative Contracting Officer (ACO) pilot which is located in Crystal Gateway.

### **Removal and Program Support Center**

This Center is divided into two teams. The Acquisition Support Team (AST) and the Infrastructure Support Team (IST).

The **AST** is responsible for providing liaison support to the regions and the (OSWER) on all matters pertaining to Removal Program contracts, i.e., ERCS, ERRS and START. The Fee Determination Office (FDO) is responsible for the removal program contracts which reside within the AST for those regions not participating in the FDO pilot. In addition, the AST processes the Delegation of Procurement Authority and warrants for the Agency's Removal Program On-Scene Coordinators. It is anticipated that AST will place future follow-on removal program contracts and maintain the staff and information gathering function of the division. The AST processes all OSWER small purchase requests. Both the AST and IST perform closeout functions for all existing backlog of expired OSWER Superfund contracts.

The **IST** is responsible for providing cost and financial analysis support to the Division and the regions. (This is the function that was provided by the Washington Cost Advisory Branch prior to the reorganization). This team is also responsible for audit tracking and management of preaward audits with the Office of Inspector General (OIG) and Defense Contract Audit Agency (DCAA). In conjunction with Policy, Training and Oversight Division (PTOD), the IST is responsible for development and dissemination of Superfund/RCRA contractual guidance and procedures which are of a broad, national concern and cut across programmatic, regional and interagency lines. The IST is also responsible for coordinating General Accounting Office (GAO) and OIG audit responses and Acquisition Management Review (AMR) responses. The IST provides headquarters Superfund cost recovery support and also performs management integrity and ethics functions for the division.

#### **Regional/Remedial Service Center**

The Center is responsible for a variety of Superfund and Non-Superfund contract programs. The Center places Response Action (RAC), Regional Oversight (ROC), and numerous non-Superfund regional support contracts. The RAC contracts are managed in the regions. However, the ROC and non-Superfund contracts are managed here within the Center. The Center also provides Fee Determination Official (FDO) services for those remedial contracts where the region is not participating in the FDO pilot and is the focal point for coordinating activities and resolving problems for regional contracting offices. All regional contracting officer warrants (with the exception of On-Scene Coordinator warrants), BPAs and regional ratification requests are processed by this Center.

Additionally, the Center is responsible for collecting and reporting the current status of the regional contracting workload, performance measures, award fee evaluation schedules, program management costs and Financial Monitoring Reviews.

#### **Enforcement and Laboratory Analysis Service Center**

This Center is responsible for Enforcement, Federal Facilities, and the Contract Laboratory Program (CLP). This Center is responsible for placing and managing the RCRA Enforcement and Permitting and Assistance (REPA) contracts, placing regional CERCLA Enforcement Support Service (ESS) contracts, placing and managing the Routine Analytical Services (RAS) contracts, placing and managing the routine Analytical Support (CLASS) contracts, the Quality Assurance Technical Support (QATS) contracts which support OERR and implementing the Alternative Dispute Resolution (ADR) pilot which support OSWER and OECA.

## **RESEARCH TRIANGLE PARK, NC**

Director oversees the three Service Centers within the Division and the Small Business Specialist. The immediate office is also responsible for the Division's administrative and budgetary functions.

### **Office of Research and Development (ORD) Acquisition Service Center**

This Center provides complete support for all requirements (excluding ADP) for ORD's National Health and Environmental Effects Research Lab (NHEERL) and National Exposure Research Lab (NERL) as well as ORD's Small Business Innovation Research (SBIR) Program. This support includes acquisition planning, contract placement, contract administration and contract closeout. The Center also provides simplified acquisition support to all ORD offices located in RTP, NC.

### **Office of Air and Radiation (OAR) Acquisition Service Center**

This Center provides complete contracting support for all requirements (excluding ADP) for the Office of Air and Radiation's Headquarters office and other supported Labs/Centers of OAR located in RTP. This support includes acquisition planning, contract placement, contract administration, closeout. The Center also provides simplified acquisition support to all OAR offices located in RTP, NC.

### **Office of Administration and Resources Management (OARM) Acquisition Service Center**

This Center provides complete acquisition and contract management support (excluding ADP) for the Office of Administration and Resources Management at RTP. This support includes acquisition planning, contract placement, contract administration, and contract closeout. This Center also provides simplified acquisition support to all OARM offices located in RTP, NC.

Requests for further information concerning Research Triangle Park acquisitions should be addressed to:

Jerry Dodson  
Small and Disadvantaged Business Specialist  
Office of Acquisition Management  
Contracts Management Division  
U.S. Environmental Protection Agency  
Research Triangle Park, NC 27711  
(919) 541-2249  
[dodson.jerry@epamail.epa.gov](mailto:dodson.jerry@epamail.epa.gov)

## **CINCINNATI, OH**

The Director oversees the three Service Centers within the Division and the Small Business Specialist. The Immediate Office is also responsible for the Division's administrative and budgetary functions. The following Service Centers support the customers indicated for all requirements except in the certain except in the certain specific instances (e.g., ADP for all locations and simplified acquisitions for Washington locations are provided by HPOD while the SBIR program of ORD is support by CMD-RTP).

### **Office of Water Service Center**

This Center provides contracting support for the entire Office of Water including the American Indian Environmental Office; the Office of Ground Water and Drinking Water; the Office of Science and Technology; the Office of Wastewater Management; and the Office of Wetlands, Oceans and Watersheds. Contracting support includes acquisition planning, contract placement, contract administration and contract closeout.

### **Office of Research and Development Service Center**

This Center provides contracting support for the Office of Research & Development's National Risk Management Research Laboratory (Cincinnati, Ohio; Edison, New Jersey; Ada, Oklahoma and RTP, North Carolina). The National Center for Environmental Research (Washington, DC), the National Center for Environmental Assessment (Cincinnati, Ohio; Washington, DC and RTP, North Carolina); and the ORD Headquarters (Washington, DC) including the Office of Science Policy and the Office of Resources Management and Administration are also supported. Contracting support includes acquisition planning, contract placement, contract administration and contract closeout.

### **Specialized Acquisition Service Center**

This Center provides contracting support for construction/A&E requirements Agencywide. The Office of Administration and Resources Management (Cincinnati, Ohio) including the National Service Center for Environmental Publications; the Office of Air and Radiation's (OAR); Office of Transportation and Air Quality (OTAQ) (formerly Office of Mobile Sources (OMS) (Ann Arbor, MI)); and the Office of Solid Waste and Emergency Response's Emergency Response Team (Cincinnati, Ohio and Edison, New Jersey) are also supported. Contracting support includes acquisition planning, contract placement, contract administration and contract closeout.

Norman White  
Small and Disadvantaged Business Specialist  
Office of Acquisition Management  
Contracts Management Division  
U.S. Environmental Protection Agency  
26 West Martin Luther King Drive  
Cincinnati, OH 45268  
(513) 487-2024  
[white.norman@epamail.epa.gov](mailto:white.norman@epamail.epa.gov)



## **COMMODITIES AND SERVICES ACQUIRED BY EPA**

EPA is designed to serve the public and be an advocate for a safe, habitable environment. The Agency seeks qualified small, small disadvantaged, hubzone and women-owned businesses to participate in the acquisition process in support of this mission. The contract spectrum includes the following:

The types of commodities and services generally acquired by EPA are:

### **Research and Development**

- ◆ Pollution Abatement and Control
- ◆ Air Pollution
- ◆ Water Pollution
- ◆ Other Pollution
- ◆ Biomedical
- ◆ Other Medical
- ◆ Other Research and Development

### **Services**

- ◆ Technical Representative Services
- ◆ Laboratory Testing Services
- ◆ Other Architect-Engineer Services
- ◆ ADP Facility Management Services
- ◆ ADP System Development and Programming Services
- ◆ Other ADP Services
- ◆ Maintenance of ADP Equipment
- ◆ Installation of Computer and Related Equipment
- ◆ Financial/Auditing Services
- ◆ Consulting Services
- ◆ Other Management Services
- ◆ Air Quality Analyses
- ◆ Chemical and Biological Studies/Analyses
- ◆ Environmental Assessments
- ◆ Environmental Baseline Studies
- ◆ Environmental Impact Studies
- ◆ Water Quality Studies
- ◆ Other Special Studies and Analyses
- ◆ Quality Assurance Studies and Analyses
- ◆ Quality Assurance Services
- ◆ Soil Studies
- ◆ Cost Benefit Studies
- ◆ Economic Studies/Analyses

- ◆ Regulatory Studies
- ◆ Feasibility Studies
- ◆ Hazardous Removal Services
- ◆ Electric Services
- ◆ Custodial - Janitorial Services
- ◆ Guard Services
- ◆ Other Housekeeping
- ◆ Arts/Graphics Services
- ◆ Operation of a Warehouse
- ◆ Printing - Binding Services
- ◆ Reproduction Services
- ◆ Technical Writing Services
- ◆ Other Photo, Printing, Publishing Services
- ◆ Lease or Rental of Equipment
- ◆ Vehicle Inspection and Maintenance Program
- ◆ Lodging or Conference Centers
- ◆ Scientific and Management Education
- ◆ Vocational/Technical Training
- ◆ Other Training
- ◆ Maintenance, Repair, Rebuilding of Miscellaneous Equipment
- ◆ Transportation Services
- ◆ Construction
- ◆ Additions, Alterations to Real Property

### **Supplies and Equipment**

- ◆ Gases (all)
- ◆ Gas Cylinders
- ◆ Chemical, Chemical Products
- ◆ ADP Mainframe
- ◆ ADP Software
- ◆ ADP Terminals
- ◆ Lab Animals
- ◆ Fuel Oil
- ◆ Special Industry Equipment

# Contract Opportunities Under Superfund

## **BASIC CATEGORIES**

**Prime and Subcontracting opportunities are available under several types of superfund contracts. The contracts fall into five basic categories:**

### **REMOVAL ACTION**

Contracts to provide EPA regional offices with (1) technical and management assistance for the removal action program financed by the Hazardous Substance Response Trust Fund, the corrective action program financed by the Underground Storage Tank (UST) Trust Fund, and the oil spill prevention program under the clean waste action and (2) cleanup personnel, equipment, and materials for the removal program and corrective actions financed by the UST Trust Fund.

### **REMEDIAL RESPONSE**

Contracts to provide EPA regional offices with technical assistance and resources for cleanup activities, support of enforcement actions, and community relations activities.

### **SUPPORT SERVICES**

Contracts to provide special technical support services to EPA regional and Headquarters personnel. Contracts cover safety and technical training, demonstration of new removal technology, laboratory and analysis and sample control, quality assurance, aerial survey and mapping and remote sensing.

### **TECHNICAL ENFORCEMENT SUPPORT**

Contracts to provide support to EPA Headquarters and regional personnel to enforce CERCLA and the Resource Conservation and Recovery Action (RCRA).

### **POLICY, PROGRAM MANAGEMENT & ADMINISTRATIVE SERVICES**

Headquarters contracts to support formulation of Superfund policy and implementation, as well as contracts for development and maintenance of automated data processing (ADP) systems and handling services at Headquarters and the regional offices. *Listed in the Contracting and Subcontracting Guide to the Superfund Program (CSGSP) are the specific contracts currently under the Superfund program. The contracts listed in each category are those in effect at the date the Guide was published. As changes or additions are made, substitute pages will be issued. To receive changes or addition pages, see the Request Form in the Guide.*

If you have any questions regarding the above information, please write to: U.S. EPA, Contracts Management Center, Office of Emergency and Remedial Response, Office of Solid Waste and Emergency Response, 1200 Pennsylvania Avenue, N.W. (5203G), Washington, D.C. 20460.

**POINTS OF CONTACT FOR EPA  
HEADQUARTERS, REGIONAL, & LABORATORY  
PROCUREMENT TELEPHONE DIRECTORY**

**U.S. Environmental Protection Agency  
1300 Pennsylvania Avenue, N.W.  
Washington, D.C. 20460  
(Ronald Reagan Building)**

<b>Mr. John C. Gheraroini, III HQ's Procurement Operations Division (3803R)</b>	<b>(202) 564-4705</b>
<b>Ms. Susan Kantrowitz ADP Contract Placement Service Center</b>	<b>(202) 564-4317</b>
<b>Mr. Thomas Caffrey ADP Contract Management Service Center</b>	<b>(202) 564-4712</b>
<b>Mr. Pat Patterson Superfund/RCRA Regional Procurement Operation Division</b>	<b>(202) 564-4325</b>
<b>Ms. Celia Vaughn Removal and Program Support Service Center</b>	<b>(202) 564-1047</b>
<b>Mr. Edward Murphy HQ's Contract Service Center</b>	<b>(202) 564-4456</b>
<b>Mr. Robert Edgeton Regional/Remedial Service Center</b>	<b>(202) 564-4471</b>
<b>Mr. Joseph Waddell Enforcement and Laboratory Analysis Service</b>	<b>(202) 564-4458</b>
<b>Mr. Tim Farris Program contract Service Center</b>	<b>(202) 564-4759</b>
<b>Ms. Linda Jordan Administrative Contract Service Center</b>	<b>(202) 564-4769</b>
<b>Ms. Denny Daniel Automation Service Center</b>	<b>(202) 564-4336</b>

**Headquarters Listing**

## POINTS OF CONTACT FOR EPA (Cont.)

<p>Ms. Fran Lewis Office of Administration and Resources Management John F. Kennedy Federal Building One Congress Street Boston, MA 02203 <b>Region I</b></p>	(617) 918-1969
<p>Mr. Ted Rivero Office of Policy and Management 290 Broadway New York, New York 10007-1866 <b>Region II</b></p>	(212) 637-3410
<p>Mr. Reed Grimenstein Office of Policy and Management 1650 Arch Street Philadelphia, PA 19107 <b>Region III</b></p>	(215) 814-5301
<p>Mr. Keith Mills Office of Policy and Management Atlanta Federal Center 61 Forsyth Street Atlanta, GA 30303 <b>Region IV</b></p>	(404) 562-8366
<p>Ms. Pat Bamford Resources Management Division 77 East Jackson Boulevard Chicago, IL 60604-3590 <b>Region V</b></p>	(312) 886-2400
<p>Ms. Brenda Durden Resources Branch First Interstate Bank Tower at Fountain Place 1445 Ross Avenue Dallas, TX 75202-2733 <b>Region VI</b></p>	(214) 655-6510

**POINTS OF CONTACT FOR EPA (Cont.)**

**Mr. Larry Kalwei**  
**Office of Policy and Management**  
**901 North 5<sup>th</sup> Street**  
**Kansas City, KS 66101**  
**Region VII**

**(913) 551-7739**

**Mr. Clyde LoSasso**  
**Grants, Audits and Procurement Office**  
**999 18<sup>th</sup> Street, Suite 500**  
**Denver, CO 80202-2466**  
**Region VIII**

**(303) 312-6527**

**Ms. Barbara Bycsek**  
**Office of Policy and Management**  
**75 Hawthorne Street**  
**San Francisco, CA 94105**  
**Region IX**

**(415) 744-1626**

**Ms. Debbie Flood**  
**Office of Management Program**  
**1200 Sixth Avenue**  
**Seattle, WA 98101**  
**Region X**

**(206) 553-2722**

# Laboratory Listing

## POINTS OF CONTACT FOR EPA (Cont.)

Ms. Debra Cochran Robert S. Kerr Environmental Research Laboratory P.O. Box 1198 Ada, OK 74820	(580) 436-8517
Ms. Ruth Ann Donovan Central Regional Laboratory Office of Analytical Services and Quality Assurance 839 Bestgate Road Annapolis, MD 21401	(410) 573-2662
Mr. Lee Hazel National Fuel and Vehicle Emissions Laboratory 2565 Plymouth Road Ann Arbor, MI 48105	(734) 668-4200
Ms. Pam Gunter Environmental Research Laboratory College Station Road Athens, GA 30303	(706) 355-8024
Ms. Betty Livingstone Environmental Research Laboratory 200 - SW 35 <sup>th</sup> Street Corvallis, OR 97333	(541) 754-4502
Ms. Yolanda Montez National Enforcement Investigations Center P.O. Box 25227 Denver Federal Center - Building 53 Denver, CO 80225	(303) 236-5111x218
Ms. Kathy Fuson Environmental Research Laboratory 6201 Congdon Boulevard Buluth, MN 55804	(218) 529-5055
Mr. Larry Hodgson Environmental Research Laboratory Sabine Island Gulf Breeze, FL 32561	(850) 934-9281

## **POINTS OF CONTACT FOR EPA (Cont.)**

<b>Mr. Kim Johnson</b> <b>Environmental Monitoring System Laboratory</b> <b>944 East Harman - P.O. Box 93478</b> <b>Las Vegas, NV 89193-3478</b>	<b>(702) 798-2574</b>
<b>Mr. Rose Beasley</b> <b>National Air and Radiation Environmental Laboratory</b> <b>540 South Morris Avenue</b> <b>Montgomery, AL 36115-2601</b>	<b>(334) 270-3409</b>
<b>Ms. Linda Distesano</b> <b>Environmental Research Laboratory</b> <b>27 Tarzwell Drive</b> <b>Narragansett, RI 02882</b>	<b>(401) 782-3121</b>
<b>Dr. Walt Nelson</b> <b>Environmental Research Laboratory</b> <b>Hatfield Marine Science Center</b> <b>2111 S.E. Marine Science Drive</b> <b>Newport, OR 97365-5260</b>	<b>(541) 867-4041</b>
<b>Ms. Lora Kociban</b> <b>303 Methodist Building</b> <b>11<sup>th</sup> and Chapline Street</b> <b>Wheeling, WV 26003</b>	<b>(304) 234-0261</b>
<b>Ms. Betty Jeffery</b> <b>EMSB - Annapolis Operations Section</b> <b>2305 Riva Road - Suite 300</b> <b>Annapolis, MD 21401</b>	<b>(410) 573-2777</b>



# FINANCIAL ASSISTANCE PROGRAM (Indirect Procurement)

## **AUTHORITY**

EPA's Authority to adopt and implement guidelines for the procurement of supplies, construction, equipment and services from small, minority and women-owned businesses stems directly from Executive Orders 11625, 12138 and 12432 and applicable Federal laws.

## **OVERVIEW**

EPA awards grants and/or cooperative agreements to States, Tribes, local governments, and institutions of higher education, hospitals and other non-profit organizations. In rare cases, EPA is authorized by statute to make awards to profit makers. All of these entities are referred to as "recipients". It is EPA policy that recipients award a fair share of procurement dollars under their grants and cooperative agreements to minority and women-owned businesses for supplies, construction, equipment and services. Pursuant to this policy, recipients and their prime contractors need to make good faith efforts to award a fair share of contracts, subcontractors and procurements to small, minority and women-owned businesses primarily through outreach, recruitment and race/gender neutral activities; and at a minimum, fulfill six affirmative steps or positive efforts. See e.g., 40 CFR §§31.36(e), 30.44(b). To assist these businesses in participating in procurement under EPA assistance awards each EPA Regional, Headquarters, Cincinnati and Research Triangle Park Office has a Minority Business Enterprise and Women's Business Enterprise (MBE/WBE) Coordinator who can provide information and assistance to firms interested in doing business under EPA financial assistance programs.

## **FAIR SHARE DEFINITION**

A fair share or a fair share objective is an amount of funds reasonably commensurate with the total project funding and the availability of qualified minority business enterprises (MBEs) and women-owned businesses (WBEs), taking into account experience on EPA-funded projects and other comparable projects in the area. Availability is a measure of the approximate representation and capacity of MBEs and WBEs in the relevant labor market and qualified to do the work. A fair share objective does not constitute an absolute requirement, but commitment on the part of the recipient or prime contractor to make good faith efforts to use MBEs and WBEs to achieve the fair share objective.

## **GUIDANCE**

EPA issued a revised edition of its "Guidance for Utilization of Small, Minority and Women's Business Enterprises in Procurement Under Assistance Agreements" - 6010 in July 1997. This document is available on the Internet at OSDBU's Website address: [http://www.epa.gov/osdbu/complete\\_guidance.pdf](http://www.epa.gov/osdbu/complete_guidance.pdf) and a limited amount of hard copies are available from OSDBU upon request. When performing contracts under EPA grants and cooperative agreements, you should be aware of applicable contract provisions contained in 40 CFR Parts 30 and 31, e.g., §§31.36(l) and 30.48.

## **DATABASES**



The following website is available to assist grant recipients:

<http://www.epa.gov/enviro/html/gics/index.html>

## **GRANTS ADMINISTRATION DIVISION**

The Grants Administration Division (GAD) is the National Program Manager for grants management. The division is responsible for developing, issuing and implementing policy for all Agency assistance programs including grants, cooperative agreements, and Interagency agreements. It is also responsible for the review, award, and management of all EPA Headquarters administered assistance, and for providing quality grants information. The Division consists of three Branches - a Policy, Information and Training Branch and two Operation Branches.

The Policy, Information and Training Branch develops, issues, interprets, and implements policy for all assistance programs; has overall responsibility for grants management officer and project officer training for the Agency; provides quality information on EPA's environmental assistance programs and is responsible for the administrative management of the Grants Information Control System, the Agency's central grants database.

The two Grants Operations Branches serve as Grants Management Offices (GMOs) and award assistance agreements and interagency agreements for all headquarter administered projects. They are responsible for assuring proper legal and administrative management from preapplication through closeout. Headquarters awards include most research, demonstration, training and fellowship awards and account for approximately 10% of the Agency's assistance budget.

EPA's 10 Regional Offices also serve as Grants Management Offices for the award of assistance agreements and interagency agreements for all Regionally administered projects and are responsible for assuring proper legal and administrative management from preapplication through closeout. Regional awards go primarily to State, Tribal and local governments and account for most of the EPA's assistance dollars. Programs include the State Revolving Fund/Construction Grants Program averaging about \$2 billion per year in awards, the continuing environmental program grants with annual awards in excess of \$600 million, and Superfund with annual awards of about \$80 - \$90 million.

If you have any questions regarding grants please contact GAD at (202) 564-5305 or visit their website at: <http://www.epa.gov.gad.htm>.

### **Point of Contacts**

Ronald Reagan Building  
1300 Pennsylvania Avenue, N.W. (3903R)  
Washington, D.C. 20044

Mr. Bruce Feldman  
Policy, Information & Training Branch  
(202) 564-5308

Ms. Mildred Lee  
Grants Operations Branch A  
(202) 564-5320

Mr. Scott McMoran  
Operation Branch B  
(202) 564-5376

## ASSISTANCE PROFILE

From a historical perspective, Federal Assistance stems back to the agricultural and land grants our government offered to States in the late 1800s. In the 1970's Congress was concerned over the perceived misuse of assistance agreements in government. Many agencies were misusing assistance agreements to circumvent competition and other procurement rules. To address these problems and develop consistency and uniformity government-wide, Congress passed the Federal Grant and Cooperative Agreement Act of 1977. (P.L. 95-224, 31 U.S.C. 6301 et seq).

**This Act does three things:**

- ★ Establishes Decision Criteria
- ★ Distinguishes Between Procurement and Assistance
- ★ Distinguishes Between Grants and Cooperative Agreements

For the purpose of understanding EPA assistance and understanding when to use which award instrument, we will only address the latter 2 points of the Act.

### **Acquisition (Contract) vs. Assistance (Grant/Cooperative Agreements)**

It is very important that when you apply for EPA extramural funds that the award instrument you are requesting is consistent with the activities in your Workplan or scope of work. **Acquisition** is used when the principal purpose of the activities in your Workplan is to acquire property or services for the direct benefit or use of the Federal Government. **Assistance** is used when the principal purpose of the Workplan helps you carry out a program or project that provides a public benefit. In contrast, acquisition helps EPA perform its function as an Agency.

How does one determine direct benefit? How does one determine support and stimulation for a public purpose? The basic difference between an assistance agreement and a contract is that an assistance agreement helps you, a contract helps EPA. To determine direct benefit you must ask yourself who is the direct beneficiary of the proposed project? In some cases EPA will receive what we call, incidental benefit or use; but you are concerned with **direct benefit**. When applying for EPA assistance, you should make it clear in your proposal that you are requesting assistance from EPA to carry out your project rather than helping EPA conduct its activities.

Additional information is contained in EPA Order 5700-1, Policy for Distinguishing between Assistance and Acquisition, March 22, 1994, which can be obtained from the EPA Grants Administration Division (GAD).

## **Grants vs. Cooperative Agreement (CA)**

Once you have chosen assistance as the proper award mechanism, then you must determine whether to apply for a grant or a cooperative agreement. In actuality, there are many similarities. They both look the same, have similar administrative requirements and are awarded by the same process. However, there is one distinct difference. A **grant** is used when there is limited Federal involvement or participation during the performance of a specific project. A **cooperative agreement** is used when there is substantial Federal involvement or participation during the performance of a given project. Hence, the major difference between the two, is the level of Federal involvement. **NOTE:** A cost share or match requirement is not a determinant of involvement, but may merely be a statutory or regulatory requirement.

EPA publishes descriptions of its financial assistance programs in the Catalog of Federal Domestic Assistance, which is available through the Government Printing Office or by Internet at the website address: <http://aspe.os.dhhs.gov/cfda/index.htm>. Questions regarding EPA's financial assistance programs should be directed to GAD.

# HOW DO I...

## **APPLY FOR EPA ASSISTANCE...**

To apply for EPA Assistance (a grant or a cooperative agreement) an applicant must qualify under the category as an eligible recipient. U.S. EPA makes assistance awards to State and Local government, Tribal Governments, Nonprofit Organizations, colleges and Universities and others. Some assistance is competitive, some is non-competitive. This choice is dependent on the specific EPA Program.

If you fall under one of these categories, you need to inquire to see if your project falls in alignment with the current goals and objectives of U.S. EPA. To obtain this information a potential applicant can do the following:

1. Check the Code of Federal Domestic Assistance (CDFA) to see if the specific EPA program of interest has a listing that may give you guidance regarding goals and objectives for that Fiscal Year; or
2. Contact OSDBU so we may connect you with the specific EPA program office that encompasses the type of environmental activity reflected in your proposed project. Inquire as to the funding goals of that program and express your interest in obtaining EPA Assistance. If the project aligns with the program's current goals and objectives, request an **EPA Application Kit for Federal Assistance**. (See Attached).

## **APPLICABLE CDFA NUMBERS**

66.470-----	Hardship Grants in Rural Communities
66.500-----	Consolidated Research Programs
66.605-----	Surveys, Studies & Special Purpose
66.606-----	Training & Fellowships
66.607-----	Sustainable Development Challenge Grants

### **PREPARE A PROPER APPLICATION...**

When you receive your "Application Kit for Federal Assistance", draw your attention to the SF-424 Application. This 4 page Application and Assurances are one of the most important parts of an applicants submittal.

The fact sheet of the SF-424 should always have a **Federal** and a **Non-Federal** Share listing in Section 15 entitled **ESTIMATED FUNDING**. The amount that you are requesting from EPA should be displayed in block A entitled **FEDERAL**. (See Figure 1A) If there is an applicant contribution based on a cost sharing ratio, it should be displayed in block B entitled **APPLICANT**. Note: If matching funds in your application are coming from other sources, they should be displayed in the appropriate box. (See Figure 1B)

15. ESTIMATED FUNDING	
a. Federal	\$137,500
b. Applicant	7,500
c. State	
d. Local	
e. Other	
f. Program Income	
g. TOTAL	\$145,000

(FIGURE 1A)

15. ESTIMATED FUNDING	
a. Federal	\$137,000
b. Applicant	5,000
c. State	
d. Local	3,000
e. Other	
f. Program Income	
g. TOTAL	\$145,000

(FIGURE 1B)

Page 2, Section A entitled **BUDGET INFORMATION** should reflect the Federal and Non-Federal shares in the appropriate blocks. The total of both should be displayed in the column entitled **TOTAL**. Note: If the Non-Federal share consists of more than one source, the column entitled Non-Federal should reflect the total amount of all these sources.

**BUDGET INFORMATION - Non-Construction Programs**  
**Section A - Budget Summary**  
**Estimated Unob. Funds**

Grant Program Function - or Activity (a)	Cat Of Federal Domestic Assist. Number (b)	Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$136,750	\$7,250	\$145,000
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

(FIGURE 1C)

Section B, Column D entitled Budget Categories should reflect the cost attributed to each object class personnel, fringe, travel, etc. Each object class should include the total Federal and Non-Federal shares. (See Figure 1D)

### SECTION B - BUDGET CATEGORIES

Grant Program, Function or Activity

6. Object Class Categories	(1)	(2)	(3)	(4)	TOTAL (5)
a. Personnel					\$100,000
b. Fringe					25,000
c. Travel					5,500
d. Equipment					0
e. Supplies					0
f. Contractual					0
g. Construction					0
h. Other					10,000
g. Total Direct Charges					140,000
j. Indir. Charges					5,000
k. TOTAL (SUM OF 6i & gj)					145,000
7. Program Income					\$430,500

(FIGURE 1D)



In addition to the application; there are a number of **CERTIFICATIONS** that must be signed and returned with any application for funding. These certifications are usually a part of our Application Kit For Federal Assistance; and can also be obtained from your specific EPA Grant Office. (See Headquarters contacts on pg. 24) (**CHECK ON CURRENT PAGE #**)

These certifications include **Assurances, Debarment and Suspension, Anti-Lobbying, Civil Rights (SF-4700)**. There must also be a brief narrative in regard to your most recent audit. The explanation should include: **dates of Audit, Cognizant Federal Agency, and the date in which the audit was submitted** to that Cognizant Federal Agency. The Cognizant Agency is the Federal agency in which you receive the most Federal funds.

If an applicant is claiming indirect costs, they should have a Current Negotiated Indirect Cost Rate in place for the rate they are charging. **INDIRECT COSTS** are defined as charges that cannot be directly charged to the grant such as space, electricity, etc. This rate is negotiated between the applicant and their Cognizant Federal Agency. A copy of your signed Current Negotiated Indirect Cost Rate should be included in your submittal for assistance.

#### **Prepare a Detailed Budget Narrative...**

In conjunction with your application; EPA requests a **DETAILED BUDGET NARRATIVE**. The budget narrative is a detailed explanation of costs proposed in the budget categories. This narrative must be consistent with the cost claimed in each object class on your application. Like the budget page of the application, this narrative should consist of both Federal and Non-Federal shares combined.

To assist you in properly constructing your **DETAILED BUDGET NARRATIVE** refer to the Guide to Preparing Object Class Category Budget Detail (See Figure 1F). This guide should assist you with the explanation of costs reflected in your application. A sample detailed budget narrative has been included as a reference guide. (See Figure 1G)

## Guide to Preparing Object Class Category Budget Detail

The Standard Form (SF) 424A, Section B - Budget Categories, should be supported in at least the level of detail described below.

When there is a match or cost-sharing requirement, the provisions of 40 CFR 30.23 or 40 CFR 31.24 must be met. All in-kind contributions used to meet match or cost-sharing requirements shall be fully documented and must comply fully with 40 CFR 30.23 or 40 CFR 31.24.

Allowability of all costs are governed by applicable cost principles set forth in 40 CFR 30.27 or 40 CFR 31.22 and applicable OMB Circulars.

**Personnel - Line 6a:** Identify each type of staff position by job title and the number of employees in each type of staff position. Enter the annual salary for each type of staff position, percentage of time assigned to the project and total cost for the budget period. Do not include costs of consultants or personnel costs of subgrantees or subcontractors.

**Fringe Benefits - Line 6b:** Enter the total cost of fringe benefits unless treated as part of an approved indirect cost rate. Provide break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, F.I.C.A., retirement insurance, etc.

**Travel - Line 6c:** Identify the number and purpose of trips for program activities, e.g., inspection, monitoring, enforcement, etc., and administrative activities, e.g., attendance at specific conferences, meetings, training, etc. Specify the cost for each activity and the basis for determining the cost. For example, list the number of trips and average cost per trip based on last year's data or specify the location, duration and estimated cost of attending an annual conference, based on airfare and applicable per diem rates. Enter the total cost for travel.

**Equipment - Line 6d:** Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year. An applicant may use its own definition of equipment provided that such definition would at least include all equipment defined above. Enter individual, as well as, total cost for equipment.

No equipment may be purchased without the expressed approval of U.S. EPA. The assistance agreement shall indicate the total approved amount of the agreement which may be expended for equipment. Any equipment purchases proposed after award must be approved by U.S. EPA in writing.

If equipment purchased wholly or in part with assistance agreement funds is to be used on more than one project/program, acquisition costs or usage fees must be approved and allocated properly.

(FIGURE 1F)

**Supplies - Line 6e:** List all tangible personal property other than "equipment" as defined above. The budget detail should be as descriptive as possible. Categories of supplies to be procured, e.g., laboratory supplies or office supplies, are acceptable if items cannot be reasonably separated. Enter individual, as well as, total cost of supplies.

**Contractual - Line 6f:** Identify each proposed contract and specify its purpose, nature, period of performance and estimated cost. Do not include procurement contracts which are reflected in other object class categories such as equipment, supplies, etc. If funds allocated to this object class category include proposed expenditures not usually categorized as services to be procured in the market place, explanatory footnotes must be included. Enter total cost for contracts.

**Construction - Line 6g:** Construction costs are generally not allowable in non-construction assistance programs. U.S. EPA will provide additional guidance upon request.

**Other - Line 6h:** List each item of cost in sufficient detail for U.S. EPA to determine its reasonableness and allowability. Such costs, where applicable, may include, but are not limited to, insurance, space rental, equipment rental, printing, publication, computer use, training fees, utilities, telephone, as well as, any cost an applicant customarily identifies as other costs. Enter individual, as well as, total costs.

**Total Direct Charges - Line 6i:** Show the totals of Lines 6a through 6h.

**Indirect Charges - Line 1:** Enter the total amount of indirect costs. If indirect charges are budgeted, indicate the approved rate and its basis on line 22 of section F - Other Budget Information (SF 424A). It is important to note that when indirect costs are budgeted, those costs included in the direct cost pool cannot also be charged as direct costs to the assistance agreement. Finally, include a copy of your current indirect cost agreement which reflects the approved rate.

(FIGURE 1F)

# SAMPLE DETAILED BUDGET NARRATIVE

## Sheet 1

**MICHIGAN DEPARTMENT OF NATURAL RESOURCES  
UNDERGROUND STORAGE TANK DIVISION  
FY-96 COOPERATIVE AGREEMENT-WORK PLAN**

FTES	Personnel Classifications	Annual Rate	Annual Rate x 2080	Salaries and Wages	Fringe Benefits	TOTAL
1	EQA 9	\$16.91	\$35,172.80	\$35,172.80	\$13,365.66	\$48,538.00
1	EQA 10	\$17.29	\$35,963.20	\$35,963.20	\$13,666.02	\$49,629.00
18	EQA 11	\$20.02	\$41,641.60	\$749,548.80	\$284,828.54	\$1,034,377.00
2	EQA 12	\$21.02	\$45,344.00	\$90,688.00	\$34,461.44	\$125,149.00
0.96044	EQA 13	\$23.83	\$49,566.40	\$47,605.55	\$18,090.11	\$65,696.00
1	GEO 9	\$16.92	\$35,193.60	\$35,193.60	\$13,373.57	\$48,567.00
4	GEO 11	\$20.02	\$41,641.60	\$166,566.40	3,295.23	\$229,862.00
27.96044	Total			\$1,160,738.00	\$441,089.10	\$1,601,819.00

Travel  
Site Visits and District Coordinators Meetings

Milage 20 Persons x 64.133 x 3 Days  
x 28 WKS x \$0.25/Mi

\$26,935.00

Supplies  
4" Castings \$20,160.00  
1" Castings \$2,370.00  
1" Well Screens \$6,300.00

Miscellaneous Field Supplies Gloves, TYVAC, Ice

\$6,324.00

\$35,154.00

Contractuals  
MI Dept. of Attorney-LUST Litigation  
Laboratory\*

\$50,000.00

\$52,759.00

Copying 858 PKTS x \$6.993/PKT

\$6,000.00

Title Searches 40 Sites x \$200/Site

\$8,000.00

Waste Disposal

\$78,000.00

GEO-PROB 13 Sites x 4 Days/Site x \$31/Day + (\$.65/mi x 243 mi)

\$1,770.00

Drill RIG 13 Sites x 3 Days/Site x \$851/Day + (\$.642/mi x 243 mi)

\$3,471.00

\$200,000.00

Audit Cost

0.04% of Grant Total

\$844.00

Indirect Cost

15.38% of Salaries and Fringe Benefits

\$246,359.00

Total LUST Budget for FY'96

\$2,111,111.00

\*Laboratory Breakdown

QUANTITY	TEST	MATRIX	COST	TOTAL
17	8260 +	SEDIMENT	\$143.47	\$2,439.00
83	BETX	SEDIMENT	\$60.00	\$4,980.00
200	PC13 only	SEDIMENT	\$226.70	\$45,340.00
TOTAL				\$52,759.00

(Figure 1G)

## **FORMULATE AN APPROVALABLE WORKPLAN...**

The **WORKPLAN** or **SCOPE OF WORK** is an in-depth description of the activities proposed in the project. It is usually developed into two parts: 1) A history of the problem and the proposed action; and 2) A statement of work indicating compliance with Regulatory requirements. This document is probably the single most important portion of your submittal for EPA Assistance.

In constructing an approval Workplan the following criteria must be thoroughly addressed:

- Objectives/End products of the project
- Actions/Steps to achieve Outputs/Deliverables
- Estimated cost for all objectives and end products
- Whether or not the project will generate the income
- Equipment List
- Estimated Work Years
- Time Table or Schedule of the project
- Geographical Location of the project
- Reporting
- Key Person Biographical Sketch(es)(On Research Assistance)

### **Conclusion**

If you follow these easy steps you can enhance the quality of your submittal for EPA assistance and reduce delays in the realm of processing and reviewing for U.S. EPA.

# UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

APPENDIX A



## APPLICATION KIT FOR ASSISTANCE

January 1998

Application Kit for Assistance

Dear Applicant:

An application kit for submitting a request for Federal Assistance to the U.S. Environmental Protection Agency (EPA) is attached. Please complete all application procedures as instructed in this kit and refer to the enclosed checklist to ensure your application is complete prior to submission.

Please consider whether your proposal is for acquisition or assistance. The Federal Grant and Cooperative Agreement Act requires Federal agencies to use a **contract** to acquire property or services that directly benefit the Federal government. A **grant or cooperative agreement** must be used to transfer money, property, services, or anything else of value that supports or stimulates an activity to accomplish a public purpose of assistance authorized by Federal statute. **The SF-424 is only used for submitting proposals for Federal assistance.**

The direct beneficiary is the determining factor as to whether a proposal is for acquisition or assistance. If the direct beneficiary is a state or local government or other recipient, and the purpose of the support or stimulation is authorized by Federal statute, then a grant or cooperative agreement is the proper legal instrument to use. If the direct beneficiary is EPA, then a contract is the appropriate legal instrument to use, and an SF-424 is not appropriate.

Please direct questions about completing your application, or general inquiries about EPA's assistance program, the Grants Administration Division (GAD) at (202) 564-5305.

Grants Administration Division

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## **ENVIRONMENTAL PROTECTION AGENCY REGULATIONS AND DESCRIPTION**

### **40 CFR Part 7 and 12 - Applicable To All Applicants**

#### ***NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE US ENVIRONMENTAL PROTECTION AGENCY***

This rule implements statutes which prohibit discrimination on the grounds of race, color; national origin, sex and handicap.

This rule stipulates that no person shall be excluded from participation in, be denied the benefits of or be subjected to discrimination under any program or activity receiving EPA assistance on the basis of race, color, national origin, or on the basis of sex or handicap in any program or activity receiving EPA assistance.

### **40 CFR Part 29 - Applicable To All Applicants**

#### ***INTERGOVERNMENTAL REVIEW OF THE US ENVIRONMENTAL PROTECTION AGENCY PROGRAMS AND ACTIVITIES***

These regulations implement Executive Order 12373, "Intergovernmental Review of Federal Programs". These regulations apply to all EPA programs.

You must contact your State's Single Point of Contact to find out if the program was selected for coverage by the State process and, if the program was selected, to receive information about your State's review process requirements and procedures. If you don't know who your Single Point of Contact is, please call (202) 564-5305.

### **40 CFR Part 30 - Applicable To Other Than State and Local Governmental Applicants**

#### ***GENERAL REGULATION FOR ASSISTANCE PROGRAMS FOR ALL APPLICANTS OTHER THAN STATE AND LOCAL GOVERNMENTS***

These regulations inform applicants, other than state and local governments, how to apply for and manage an EPA project, describes EPA involvement in the process, and identifies recipient's responsibilities.

### **40 CFR Part 31 - Applicable To All State and Local Government Applicants**

#### ***UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS***

This part establishes uniform administrative rules for Federal grants and cooperative agreements to State, local and Indian Tribal governments.

## **40 CFR Part 32 - Applicable To All Applicants**

### ***GOVERNMENT-SIDE DEBARMENT AND SUSPENSION (NONPROCUREMENT) AND GOVERNMENT-SIDE REQUIREMENTS FOR DRUG-FEE WORKPLACE (GRANTS)***

#### ***Subpart A - General***

Executive Order 12549 provides for a government-wide system of nonprocurement (grants and cooperative agreements) debarment and suspension. A person who is debarred or suspended is excluded from federal financial and nonfinancial assistance and benefits under federal programs and activities. Debarment or suspension of a participant in a program by one agency has government-wide effect.

#### ***Subpart F - Drug-Free Workplace Requirements (Grants)***

The Drug-Free Workplace Act of 1988 requires that all grantees receiving grants from any Federal agency certify to that agency that they will maintain a drug-free workplace, or in the case of a grantee who is an individual, certify to the agency that his or her conduct of grant activity will be drug-free. This government-wide rule implements the statutory requirements. It directs that grantees take steps to provide a drug-free workplace in accordance with the Act.

## **40 CFR Part 34 - Applicable To All Applicants**

### ***NEW RESTRICTIONS ON LOBBYING***

This interim final rule is in response to section 319 of Public Law 101-121. Section 319 prohibits recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant, or loan.

## **40 CFR Part 40 - Applicable To All Applicants Applying For**

### ***RESEARCH AND DEMONSTRATION GRANTS***

This part establishes mandatory policies and procedures for all EPA research and demonstration grants. The provisions of this part supplements the EPA general grant regulations and procedures (40 CFR Part 30).

## **40 CFR Part 45 - Applicable To All Applicants Applying For**

### ***TRAINING ASSISTANCE***

This part establishes the policies and procedures for the award of training assistance by EPA. Assistance agreements are awarded under this part to support students through traineeships for occupational and professional training, and to develop career-oriented personnel qualified to work in occupations involving environmental protection and pollution abatement, and control.

## **40 CFR Part 46 - Applicable to All Applicants Applying For**

### ***FELLOWSHIPS***

This part establishes the policies and procedures for all US Environmental Protection Agency fellowships. Fellowships awarded under this part are intended to enhance the capability of State or local agencies responsible for environmental pollution control or other agencies with similar pollution control responsibilities; provide educational renewal opportunities for their career oriented personnel to achieve additional knowledge through academic professional training and to bring new people into the environmental control field.

## **40 CFR Part 47 - Applicable To All Applicants Applying For**

### ***NATIONAL ENVIRONMENTAL EDUCATION ACT GRANTS AND COOPERATIVE AGREEMENTS***

This part codifies policy and procedures for the award of grants or cooperative agreements under section 6 of the NEEA. Grants awarded under this part are educational activities and training activities involving elementary, secondary, and postsecondary students, as such terms are defined in the State in which they reside, and environmental education personnel, but does not include technical training activities directed toward environmental management professionals or activities primarily directed toward the support of noneducational research and development.

Should you need copies of the above cited regulations please call (202) 564-5305 or you may access a copy through the World Wide Web at: <http://www.epa.gov/ogd/regs.htm>.

### **SUPPLEMENTAL INFORMATION:**

#### **Application For Federal Assistance (Standard Form 424)**

Please refer to the SF-424 instructions. The following discusses items that require additional attention.

**Item 5:** If the individual you list under "Name and telephone number of the person to be contacted for matters involving this application", is not the Project Manager, please provide the Project Manager's name, title, address, telephone number, and facsimile machine number on the key contact list.

Additionally, please submit a biographical sketch for the Project Manager. The biographical sketch should include educational and background' information, and other qualifying experience relevant to the project. Also, list other key personnel engaged in the project, and detail each person's training or discipline. Identify the Project Manager's other Projects, and the amount of time that he or she devotes to each project. Provide employment summaries for the Project Manager and the key personnel. The employment summaries should include contracts and consultancies; for the present and for the past two years.

**Item 9:** List EPA personnel who have provided you with preapplication assistance along with their telephone number and the program office.

**Item 10:** List the Catalog of Federal Domestic Assistance (CFDA) Number and Title. If you do not know the CFDA Number and Title, leave this item blank.

**Item 13:** The "Start Date" and "Ending Date" should represent the time frame in which the entire scope of work detailed in the application will be completed, and during which the recipient may expend or obligate Federal funds.

**Item 15:** List the estimated funding amounts for the entire project and for each proposed budget period. The "Estimated Funding" amounts should include the amount requested from EPA, and your organization's cost sharing amount, if required.

**Item 16:** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

**Item 18:** The authorized representative listed here will receive an official award agreement if EPA awards a grant or cooperative agreement in response to your application.

**DESCRIPTION OF PROJECT:** Include a section which addresses the following:

**Objective:**

- (1) Describe the primary and secondary project objectives.
- (2) Identify relevant physical, economic, social, financial, institutional, or other problems.
- (3) Include supporting documentation from concerned interests, other than the applicant.
- (4) Include and footnote relevant data based on planning studies.

**Results or benefits expected:**

Identify results and benefits that will accrue to the project. Include the benefits that will accrue to the recipient, the pollution served, the public, and the environment. For example, compliance with water quality standards, or ambient air quality standards, advancements in the state of the art of pollution abatement, etc.

**Approach:**

- (1) Provide a work plan detailing how the scope of work will be accomplished, and detailing the proposed project. Cite factors that could potentially accelerate or decelerate the work. Indicate why this approach has been chosen rather than alternative approaches. Describe any unusual project features such as design or technological innovations, cost or time reductions, or extraordinary social and community involvement.

- (2) Describe all available facilities for carrying out the project.
- (3) List all non-Federal funds sources and facilities to be used to perform the proposed project.
- (4) Provide a chronological schedule of accomplishments, progress, and milestones that are anticipated over the project's duration.
- (5) Indicate who will carry out each of the work plan's elements. Include supporting agencies, consultants, and contractors.
- (6) Describe sampling and data collection procedures, analytical methods and methods to evaluate the project's results.

**General Project Information:**

- (1) Identify the kinds of data to be collected and maintained, and discuss the evaluation criteria for the project's results. **Indicate whether research or demonstration will involve human subjects or research animals.**
- (2) Discuss this project's effect on or relationship to work planned, anticipated, or in process, by the grantee, or Government agencies. Discuss the Federal, State, and local programs with which the work will be coordinated, and describe the extent and nature of the coordination.

**QUALITY ASSURANCE:**

If your project involves environmentally related measurements or data generation, you must develop and implement quality assurance practices. These practices must sufficiently produce quality data to adequately meet project objectives, and to minimize data loss due to uncontrolled conditions or malfunctions. State, local, or Indian tribal government applicants should refer to EPA regulation 40 CFR 31.45. All other applicants should refer to EPA regulation 40 CFR 30.54.

**BUDGET:**

The application includes Standard Form 424A: "Budget Information - Non-Construction Programs". Please complete only Section B: "Budget Categories", and Section F: "Other Budget Information" on Standard Form 424A. If you have budgeted indirect costs in Section B, please attach a copy of your indirect cost rate agreement which has been negotiated with a cognizant Federal agency. Please indicate under "remarks" in Section F, that your indirect cost rate is attached.

## **Guidance for completing a Detailed Budget to Supplement Standard Form 424A**

In addition to completing Standard Form 424A, a separate, detailed budget is required. Please follow the guidelines listed below.

### **Detailed Itemization of Costs:**

**Personnel:** List all project participants' titles. Indicate the time percentage that each individual will devote to this project during the entire project period. The budgeted cost should be derived as follows: multiply each person's time percentage by his or her annual salary. Indicate this calculation for each personnel member. The sum of each person's costs should be reflected as total personnel costs. Record total on Standard Form 424A, Section B, Line A.

**Travel:** Indicate the budgeted travel's purpose and the destination of each trip and indicate the number of travelers. Record total on Standard Form 424A, Section B, Line C.

**Equipment:** Provide a list of equipment to be purchased. Record total on Standard form 424A, Section B, Line D.

**Supplies:** Itemize budgeted supplies unless their total represents less than two percent of total costs. Record total on Standard Form 424A, Section B, Line E.

**Contractual:** Specify the nature and cost of contractual services. EPA may review the contracts for personal services before the contracts are executed, to assure that all costs are reasonable and necessary to the project. Record total on Standard Form 424A, Section B, Line F.

**Construction:** If your budget includes construction costs, contact the Grants Administration Division for additional instructions while completing your application. Record total on Standard Form 424A, Section B, Line G.

**Other:** Itemize all costs included here. Include items here which can not be scheduled in the more specific categories. If you are applying for a training project, the itemization should include a cost breakdown of trainee tuition and fees, book allowances, stipends, and travel. Record total on Standard Form 424A, Section B, Line H.

**Indirect Costs:** Please indicate how indirect charges were calculated for this project, and remember to attach a copy of your current indirect cost rate agreement. Record total on Standard Form 424A, Section V, Line J. If an organization has not previously established an indirect cost rate with another Federal Agency, please specify on Standard Form 424A, Section A, Line J.

**Program Income:** If any income is expected to be generated from this project, insert the estimated income amount here. Do not add or subtract this amount from the total project amount. Your detailed direct cost itemization should show this income's nature and source. Record total on Standard Form 424A, Section B, Line 7.

**CHECKLIST OF APPLICATION  
ITEMS TO BE SUBMITTED**

- ☐ SF-424 Application for Federal Assistance, with original signature, (including Assurance for Non-Construction Programs)
  - ☐ Number of Copies: Original and 2 copies
  - ☐ Assurances Non-Construction Programs Certification
  - ☐ Debarment and Suspension Certification
  - ☐ Certification Regarding Lobbying (if over \$100,000) and SF LLL, if applicable
  - ☐ EPA Form 4700-4 Preaward Compliance Review Report
  - ☐ Narrative Statement (Work Plan)
  - ☐ Quality Assurance Narrative Statement, if applicable
  - ☐ Detailed Itemized Budget
  - ☐ Copy of Negotiated Indirect Cost Rate Agreement
  - ☐ Key Contact List
  - ☐ Biographical Sketch
  - ☐ Application Receipt Letter, with your address filled in
  - ☐ Additional Information to be Submitted, if applicable
- (1) If you are submitting your application under the Federal Demonstration Project, please indicate it in block 11.
  - (2) If your project requires an Environmental Impact Statement or Environmental Assessment, or both, please indicate it on a separate sheet of paper.
  - (3) If your project involves human testing studies, please indicate it on a separate sheet of paper.
  - (4) If your project involves animal testing studies, please indicate it on a separate sheet of paper.

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460



OFFICE OF  
ADMINISTRATION  
AND RESOURCES  
MANAGEMENT

**Application Receipt Letter**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear \_\_\_\_\_:

The U.S. Environmental Protection Agency's Grants Operations Branch has received your application. The EPA identification number assigned to your project is \_\_\_\_\_. \_\_\_\_\_ is this project's Grants Specialist. If you have any questions, please contact your grants specialist at (202) 564-\_\_\_\_\_.

Sincerely,

Barbara Rochon  
Grants Administration Division



## KEY CONTACTS

**Authorized Representatives:** Original awards and amendments will be sent to this individual for review and acceptance unless otherwise indicated.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Payee:** Individual authorized to accept payments.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Administrative Contact:** Individual from Sponsored Programs Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests, etc.)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Project Manager:** Individual responsible for the technical completion of the proposed work.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

## INSTRUCTIONS FOR THE SF-424

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

Item      Entry:

- |   |  |
|---|--|
| <p>1.      Self-explanatory.</p> <p>2.      Date application submitted to Federal agency (or State, if applicable) &amp; applicant's control number (if applicable).</p> <p>3.      State use only (if applicable).</p> <p>4.      If this application is continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.</p> <p>5.      Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.</p> <p>6.      Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.</p> <p>7.      Enter the appropriate letter in the space provided.</p> <p>8.      Check appropriate box and enter appropriate letter(s) in the space(s) provided:</p> <p style="margin-left: 20px;"><input type="checkbox"/>      "New" means a new assistance award.</p> <p style="margin-left: 20px;"><input type="checkbox"/>      "Continuation" means extension for an additional funding/budget period for a project with a projected completion date.</p> <p style="margin-left: 20px;"><input type="checkbox"/>      "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</p> <p>9.      Name of Federal agency from which assistance is being requested with this application.</p> | <p>10.     Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</p> <p>11.     Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.</p> <p>12.     List only the largest political entities affected (e.g., State, counties, cities).</p> <p>13.     Self-explanatory.</p> <p>14.     List the applicant's Congressional District and any District(s) affected by the program or project.</p> <p>15.     Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contribution should be included on appropriate lines as applicable.</p> <p>16.     Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive 12372 to determine whether the application is subject to the State intergovernmental review process.</p> <p>17.     This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>18.     To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application).</p> |
|---|--|

APPLICATION FOR  
FEDERAL ASSISTANCE

<b>1. Type of Submission:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>Preapplication</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code)		Name and telephone number of the person to be contact on matters involving the application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□-□□□□□□		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> A. State                      H. Independent School District B. County                    I. State Controlled Institution of Higher Learning C. Municipal                J. Private University D. Township                K. Indian Tribe E. Interstate                L. Individual F. Intermunicipal           M. Profit Organization G. Special District        N. Other (Specify): _____	
<b>8. TYPE OF APPLICATION</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration E. Other (specify) _____			
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> □□-□□□		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>			
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00		
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> YES    If "Yes", attach an explanation <input type="checkbox"/> NO	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF. ALL DATA IN THIS APPLICATION/preapplication ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN ONLY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCE IF THE ASSISTANCE IS AWARDED.</b>			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative			e. Date Signed

## BUDGET INFORMATION - Non-Construction Programs

### SECTION A - BUDGET SUMMARY

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

### SECTION B - BUDGET CATEGORIES

6. Object Class Categories						
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-gh)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

## SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

## SECTION D - FORECASTED CASH NEEDS

	Total for 1 <sup>st</sup> Year				
13. Federal	\$				
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$				

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

(a) Grant Program	FUTURE FUNDING PERIOD (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)				

## SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

Authorized for Local Reproduction  
**INSTRUCTIONS FOR THE SF-424A**

**General Instructions**

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

**Section A. Budget Summary**

**Lines 1-4, Columns (a) and (b)**

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

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

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

**Line 1-4, Columns (c) through (g)**

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

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

For supplemental grants and changes to existing grants, do not use Column (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter

the new total budgeted amount (federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Section B. Budget Categories**

**Line 5** - Show the totals for all columns used.

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

**Line 6a-i** - Show the totals if cubes 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

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

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

**Section C. Non-Federal Resources**

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

**Column (a)** - enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - enter totals of Columns (b), (c) and (d).

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

SF-424 (4-88)

## INSTRUCTIONS FOR THE SF-424A *(continued)*

### Section D. Forecasted Cash Needs

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

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

**Line 16** - Enter the totals of amounts on Line 13 and 14.

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

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

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

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

### Section F. Other Budget Information

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

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

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

## ASSURANCES - NON CONSTRUCTION PROGRAMS

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

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

- |  |   |
|--|---|
| <p>13. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.</p>   | <p>20. persons displaced or who property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.</p>  |
| <p>14. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</p>   | <p>21. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.</p>  |
| <p>15. Will establish safeguards to prohibit employees from using their positions for purpose that constitutes or presents the appearance for personal or organizational conflict of interest, or personal gain.</p>   | <p>22. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.</p>  |
| <p>16. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</p>  | <p>23. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazardous area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.</p>   |
| <p>17. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).</p>   | <p>24. Will with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738 (c) protection of wetlands pursuant to EP 11990, (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (PL. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).</p> |
| <p>18. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972 as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of Sec. (c) Section 504 of the Rehabilitation Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd03 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under the requirements of any other nondiscrimination statute(s) which may apply to the application.</p> | <p>25. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.). Related to protecting components or potential components of the national wild and scenic rivers system.</p>   |
| <p>19. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of</p>   | <p>26. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).</p>   |
|  | <p>27. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.</p>   |



**ASSURANCES - NON CONSTRUCTION PROGRAMS** *(continued)*

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

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

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

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

Signature of Authorized Certifying Official	Title	
Applicant Organization		Date Submitted



United States Environmental Protection Agency  
Washington, D.C. 20460

\_\_\_\_\_  
EPA Project Control Number

**Certification Regarding  
Debarment, Suspension, and Other Responsibility Matters**

The prospective participant certifies to the best of its knowledge and belief that it and the 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, mailing 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 proceeding this application/proposal had one or more public transaction (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 U.S.C. Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

\_\_\_\_\_  
Type Name & Title of Authorized Representative

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

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

## **Instructions**

Under Executive Order 12549, an individual or organization debarred or excluded from participation in Federal assistance or benefit programs may not receive any assistance award under a Federal Program or a subagreement thereunder for \$25,000 or more.

Accordingly, each prospective recipient of an EPA grant, loan, or cooperative agreement and any contract or subagreement participant thereunder must complete the attached certification or provide an explanation why they cannot. For further details, see 40 CFR 32.510, participants' responsibilities, in the attached regulation.

### **Where to Submit:**

The prospective EPA grant, loan, or cooperative agreement recipient must return the signed certification or explanation with its application to the appropriate EPA Headquarters or Regional office, as required in the application instructions.

A prospective prime contractor must submit a completed certification or explanation to the individual or organization awarding the contract.

Each prospective subcontractor must submit a completed certification or explanation to the prime contractor for the project.

### **How To Obtain Forms:**

EPA includes the certification form, instructions, and a copy of its implementing regulation (40 CFR Part 32) in each application. Applicants may reproduce these materials as needed and provide them to their prospective prime contractor, who, in turn may reproduce and provide them to prospective subcontractors.

Additional copies/assistance may be requested from:

**Suspension and Debarment Division  
Grants Administration Division  
U.S. Environmental Protection Agency  
1200 Pennsylvania Avenue, N.W. (3903R)  
Room 51288  
Washington, D.C. 20460  
(202) 564-5305**

**CERTIFICATION REGARDING LOBBYING**  
**CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE**  
**AGREEMENTS**

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

- (1) No Federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency...a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award of documents for all subawards at all tiers (including subcontractors, subgrants, shall certify and disclose accordingly.

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

\_\_\_\_\_  
TYPED NAME & TITLE OF AUTHORIZED REPRESENTATIVE

\_\_\_\_\_  
SIGNATURE OF AUTHORIZED REPRESENTATIVE

\_\_\_\_\_  
DATE

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the importing entity, whether subawarded or once Federal recipient at the initiation or receipt of a covered Federal action, or a material change to a previous filing pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for each payment of, agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported. Enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates it is, or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1<sup>st</sup> tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For Example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter full catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, laws, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number Invitation for Bid (IFB) number grant announcement number: the contract, grant, or loan award number the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address, if different from 10 W. Enter Last Name, First, Name and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es) – Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply, if other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the Officer(s) employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget. Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

Approved by  
0348-0044

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

Approved by  
0348-0044

**DISCLOSURE OF LOBBYING ACTIVITIES**  
**CONTINUATION SHEET**

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

Authorized for Local Reproduction



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460  
**Preaward Compliance Review Report For all Applicants  
Requesting Federal Financial Assistance**

Form Approved  
OMB No. 2090-014  
Expires 4-30-99

**Note: Read instructions on reverse side before completing form.**

I. A. Applicant (Name, City, State)		B. Recipient (Name, City, State)	C. EPA Project No.
II. Brief description of proposed project, program or activity.			
III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? <span style="float: right;">___ Yes ___ No</span> If "yes", list those complaints and the disposition of each complaint.			
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted By and Federal agency during the two years prior to this Application for activities which would receive EPA assistance? <span style="float: right;">___ Yes ___ No</span> If "yes", list those compliance reviews and status of each review.			
V. Is any other Federal financial assistance being applied for or is any other federal financial Assistance being applied to any portion of this project, program or activity? <span style="float: right;">___ Yes ___ No</span> If "yes", list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.			
VI. <b>Population Characteristics</b>			<b>Number of People</b>
1. A. Population of Entire Service Area			
B. Minority Population Entire Service Area			
2. A. Population Currently Being Served			
B. Minority Population Currently Being Served			
3. A. Population to be Served by Project, Program or Activity			
B. Minority Population to be Served			
4. A. Population to Remain without Service			
B. Minority Population to Remain Without Service			
VIII. Will all new facilities or alterations to existing facilities financed by these funds be designed And constructed to be readily accessible to and unusable by handicapped persons? <span style="float: right;">___ Yes ___ No</span> If, "no", explain how a regulatory exception applies (40 CFR 7.70).			
IX. Give the schedule for future projects, programs or activities (or of future plans), by which service will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why.			
X. I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.			
A. Signature of Authorized Official		B. Title of Authorized Official	C. Date
<b>For the U.S. Environmental Protection Agency</b>			
___ Approved ___ Disapproved		Authorized EPA Official	Date



## Instructions

### General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes.

Title VI of the Civil Rights Act of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the title shall not be construed to authorize action with respect to any employment practice or any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to be provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act 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 subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified handicapped individual shall solely by reason of handicap be excluded from participation in, be denied the benefit of or be subjected to discrimination under any program or activity receiving Federal finance assistance. Employment discrimination on the basis of handicap is prohibited in all such programs or activities.

The Agency Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Agency Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person on the basis of sex shall be excluded from participation in, be denied the benefit of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: An education program or activity is not limited to only those conducted by a formal institution.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes.

Submit this form with the original and required copies of applications, requested for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA: for "Not Applicable".

In the event applicant is uncertain about how to answer certain questions, EPA program officials should be contacted for clarification.

- 1A. "Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance.
- 1B. "Recipient" means any entity, other than applicant, which will actually receive EPA assistance.
- 1C. Self-explanatory.
- II Self-explanatory.
- III. "Civil rights lawsuits" means any lawsuit or complaint alleging discrimination on the basis of race, color, national origin, sex, age or handicap pending against the applicant and/or entity which actually benefits from the grant. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.
- IV. "Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age or handicap. If any part of the review covered the entity which will actually benefit from the grant, it should be listed.
- V. Self-explanatory.
- VI. The word "community" refers to the area under the applicant's and/or recipient's jurisdiction. The "community" might be a university or laboratory campus, or a community within a large city. If there is a significant disparity between minority and non-minority population to receive service, not otherwise satisfactorily explained, the Regional office may require a map which indicates the minority and non-minority population served by this project, program or activity.
- VII. This information is required so that reviewers may determine if a disparity in the proposed provision of services will exist in the event the application is approved for funding. Give population of recipient's jurisdiction, broken out by categories as specified.
- VIII. Self-explanatory.
- IX. "Jurisdiction" means the geographical area over which applicant has the authority to provide service.
- X. Self-explanatory.

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed, and completing and reviewing the form. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to U.S. Environmental Protection Agency, Chief Information Policy Branch, 1200 Pennsylvania Avenue, N.W., Washington, D.C. 20460; and to the Paperwork Reduction Project, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503

EPA Form 4700-4 (Rev. 1/90) Reverse

## **PREAWARD COMPLIANCE REVIEW REPORT FOR ALL APPLICANTS REQUESTING FEDERAL FINANCIAL ASSISTANCE**

If you have any questions regarding this form, please contact the appropriate person for your region, listed below:

Region I	CT ME MA NH RI VT	Region III	DE DC MD PA VA WV	Region V	IL IN MN OH WI	Region VII	IA KS MO NE	Region IX	AZ CA HI AS GU
Region II	NJ NY PR VI	Region IV	AL FL GA KY MS NC SC TN	Region VI	AR LA NM OK TX	Region VIII	CO MT ND SD UT WY	Region X	AK ID OR WA

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### **RETURN COMPLETED APPLICATION TO:**

U.S. Environmental Protection Agency  
Office of Grants and Debarment  
1200 Pennsylvania Avenue, N.W. (3903R)  
Room 51288  
Washington, D.C. 20460

# EPA SMALL & DISADVANTAGED BUSINESS UTILIZATION OFFICERS

(MBE/WBE COORDINATORS)

## Region I

Sharon Molden  
John F. Kennedy Federal Building  
One Congress Street, Suite 1100 (MCP)  
Boston, MA 02203  
**States:** CT, ME, RI, MA, NH, VT

(617) 918-1062

## Region II

Otto Salamon  
290 Broadway - 27<sup>th</sup> Floor  
New York, NY 10007-1866  
**States:** NJ, NY, PR, VI

(212) 637-3417

## Region III

Romona McQueen  
1650 Arch Street  
Philadelphia, PA 19103  
**States:** DE, VA, MD, PA, DC, WV

(215) 814-5155

## Region IV

Rafael Santamaria  
Matt Robbins  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-8960  
**States:** AL, FL, GA, KY, MS, NC, SC, TN

(404) 562-8110

(404) 562-8371

## Region V

Darlene Hainer  
77 West Jackson Boulevard (MC-10J)  
Chicago, IL 60604-3507  
**States:** IL, IN, MI, MN, OH, WS

(312) 886-6017

## Region VI

Debora N. Bradford  
1445 Ross Avenue  
12<sup>th</sup> Floor, Suite 1200  
Dallas, TX 75202-2733  
**States:** AR, LA, NM, OK, TX

(214) 665-7406

**MBE/WBE COORDINATORS (Continued)**

**Region VII**

Cecil Bailey (913) 551-7462  
901 North 5<sup>th</sup> Street  
Kansas City, KS 66101  
**States:** MO, NE, IA, KS

**Region VIII**

Maurice Velasquez (303) 312-6862  
999 18<sup>th</sup> Street, Suite 500  
Denver, CO 80202-2405  
**States:** CO, MT, WY, SD, ND, UT

**Region IX**

Joe Ochab (415) 744-1628  
75 Hawthorne Street (P-22)  
San Francisco, CA 94105  
**States:** AZ, HA, CA, NV

**Region X**

Myrna Jamison (206) 553-2931  
1200 Sixth Avenue  
Seattle, WA 98101  
**States:** AL, ID, OR, WA

**Cincinnati**

Norman White (513) 487-2024  
26 West Martin Luther King Drive  
Cincinnati, OH 45268

**North Carolina**

Jerry Dodson (919) 541-2249  
Research Triangle Park, NC 27711

**Headquarters**

Lupe Saldana (202) 564-5353  
1200 Pennsylvania Avenue, N.W. (3903R)  
Washington, D.C. 20460



## EPA's Small Business Innovation Research (SBIR) Program

The Environmental Protection Agency (EPA) is one of 10 federal agencies that participate in the SBIR Program established by the Small Business Innovation Development Act of 1982. The purpose of this Act was to strengthen the role of small businesses in federally funded R&D and help develop a stronger national base for technical innovation. **A small business is defined as a for profit organization with no more than 500 employees.** In addition, the small business must be independently owned and operated, not dominant in the field of operation in which it is proposing, and have its principal place of business located in the United States. Joint ventures and limited partnerships are eligible for SBIR awards, provided the entity created qualifies as a small business.

EPA issues annual solicitations for Phase I and Phase II research proposals from science and technology-based firms. Under Phase I, the scientific merit and technical feasibility of the proposed concept is investigated. EPA awards firm-fixed-price Phase I contracts of up to \$70,000 and the period of performance for these contracts is typically 6 months. Through this phased approach to SBIR funding, EPA can determine whether the research idea, often on high-risk advanced concepts, is technically feasible, whether the firm can do high-quality research, and whether sufficient progress has been made to justify a larger Phase II effort. The Phase I report also serves as a basis for follow-on commitments.

Phase II contracts are limited to small businesses that have successfully completed their Phase I contracts. The objective of Phase II is to further develop the concept proven feasible in Phase I. Competitive awards are based on the results of Phase I and the scientific and technical merit and commercialization potential of the Phase II proposal. Under Phase II, EPA can award contracts of up to \$295,000 and the period of performance is typically 2 years. The goal of Phase II is to complete the R&D required to commercialize the technology.

The solicitation is posted on the National Center for Environmental Research WEBSITE at:

<http://www.epa.gov/ncerqa/sbir>

# EPA Small Business Ombudsman

TO: Persons Interested in Small Business Environmental Issues

We receive thousands of calls from small businesses each year seeking information and help on environmental regulations. All inquiries and requests can be handled anonymously regardless of their content.

Our office tries hard to lessen the burden of regulations on small businesses and make them more understandable as they are being formulated. However, we are not always successful when dealing with serious, complex issues. Therefore, if you need help in interpreting and complying with the requirements call us or write me; we can provide you information and help point you in the right direction. You can help yourself and the environment by calling our telephone Hotline number, 1-800-368-5888 or writing me, Karen V. Brown, Small Business Ombudsman, U.S. EPA, 1200 Pennsylvania Avenue, N.W. (2131), Washington, D.C. 20460.

We look forward to hearing from you, you, and you.

Karen V. Brown  
Ombudsman

# **Small Business Ombudsman Functions**

EPA's Office of the Small Business Ombudsman (OSBO) performs the following functions:

- ★ Provides a convenient way for small businesses to access EPA;
- ★ Facilitates communications between the small business community and EPA;
- ★ Investigates and resolves disputes with EPA; and
- ★ Works with EPA personnel to increase their understanding of small businesses in development and enforcement of environmental regulations.

## STATE SMALL BUSINESS ASSISTANCE PROGRAMS

### Small Business Special Needs:

Congress recognized the particular problems that many small businesses would have in dealing with the 1990 Clean Air Act Amendments complex requirements. A typical small business employs fewer than 50 people, and is the only business operated by the owner. It is the corner dry cleaner, the "mom and pop" bakery, the auto body repair shop, gasoline service station, the machine, tool and dye company, or one of other local business establishments. Many have been in the same family and neighborhood for generations.

Air pollution control regulation may seem very complex to many small businesses. Many may not be able to afford to hire lawyers or environmental specialists to interpret and comply with all the requirements they may be responsible for the new Act. Most may be hard pressed inform themselves about the most basic requirements and deadlines of the control programs that will affect them, let alone the more complicated issues they are going to have to address to control air emissions, such as:

- The types of pollutants their company emits that are subject to the Act's requirements;
- The methods they can use to estimate emissions for a permit applications;
- Types of control technologies that are best and least costly for controlling specific production process or chemical substance they use to make goods and services; and
- Process or substance substitutes they can use to prevent or reduce emissions.

### State Lead for Providing Small Business Assistance:

The 1990 Clean Air Act Amendments gives each state government the lead in developing and implementing a Small Business Technical and Environmental Compliance Assistance Program as part of legally enforceable state implementation plans.

### The Act's Definition of a Small Business:

The Act establishes certain criteria that a company must meet to qualify for assistance as a small business. It must be a small business as defined in the Small Business Act which generally means that it is an independently owned and operated concern that is not dominant in its field. The business must be owned by a person who employs 100 or fewer individuals, and cannot be a major stationary source of either a primary urban (so called "criteria") pollutant or toxic air pollutant. It cannot, in fact, emit 50 tons or more a single pollutant a year, or more than 75 tons of all regulated pollutants. State governments can modify some of these requirements provided that the particular source does not emit more than 100 tons a year of all regulated pollutants.

### Federal Oversight and Support:

EPA will be providing several forms of guidance and assistance to these state assistance programs for the full duration of the Act.

- (1) **Federal Guidelines:** EPA published final guidelines for states to draw upon to develop their assistance programs. The Agency has approved each state compliance and assistance program to ensure that it meets the Act's requirements.
- (2) **Oversight and Monitoring:** The EPA Small Business Ombudsman oversees and monitors all state assistance programs and makes periodic reports to Congress on each state's progress. Among other things, the EPA Ombudsman determines how well the state programs are working and makes sure the information and assistance the states provide is understandable to the layman.
- (3) **Technical Assistance and Research:** EPA shares information and research that it has developed nationally with each state assistance and compliance program. States are able to receive technical assistance through several EPA Centers and Hotlines. These Centers and Hotlines provide a broad range of assistance including information concerning the Clean Air Act requirements, control technology data, pollution prevention methods and alternatives, emission measurement methods, air pollution monitoring devices, and prevention methods and alternatives, emission measurement methods, air pollution monitoring devices and prevention of accidental releases of toxic chemicals into the environment.



## COMPONENTS OF AN OVERALL STATE ASSISTANCE PROGRAM

By November, 1992, each state was required to develop a plan for implementing a Small Business Stationary Source Technical and Environmental Program. Congress envisioned that these programs would be in place before small business begin to feel the direct effects or deadlines of the Act.

Each state program is required to include three components: (1) appointment of a State small business ombudsman; (2) establishment of a comprehensive small business assistance program; and (3) appointment of a seven-member state compliance advisory panel.

- (1) **State Ombudsman:** The first component is the State Ombudsman who acts as the small business community representative in matters that affect it under the Clean air Act. Other responsibilities of the State Ombudsman could be to:
  - ◆ Review and provide comments and recommendations to EPA and state/local air pollution control authorities regarding the development and implement of regulations that impact small businesses;
  - ◆ Help disseminate information about upcoming air regulations, control requirements, and other pertinent matters to small businesses;
  - ◆ Refer small businesses to the appropriate specialists in state government and elsewhere for help with particular needs (e.g., available control technologies and operating permit requirements); and
  - ◆ Conducts studies to evaluate the effects of the act on state and local economies, and on small businesses generally.
- (2) **Small Business Assistance Program (SBAP):** The second component of the overall state program in the Small Business Assistance Program which is the technical and administrative support component within the state government. The SBAP staff has access to air quality experts, technically proficient engineers, scientists and managers, and environmental specialists who provide support and technical assistance needed by small business to comply with the Act's requirements. Related responsibilities include:
  - ◆ Informing businesses of all requirements in the Clean air Act that apply to them and the dates these requirements will apply;
  - ◆ Helping small businesses deal with specific technical, administrative and compliance problems;
  - ◆ Disseminating up-to-date information about the Clean air Act to the small business community, including easy to understand public information materials; and
  - ◆ referring small businesses to environmental auditors who can evaluate how effective a company's work practices, monitoring procedures, and record-keeping are for complying with applicable clean air requirements.
- (3) **State Compliance Advisory Panel:** The third component of the overall state assistance program consists of a seven-member state compliance advisory panel in each state of determining the overall effectiveness of the State SBAP. Four of these members must be small business owners or representatives selected by the state legislature; the governor of each state selects two other members to represents the "general public". The seventh member is chosen by the head of the state agency responsible for issuing operating permits.

The State compliance advisory panels reviews and renders advisory opinions on the effectiveness of the state SBAP, and makes periodic progress reports to EPA's Small Business Ombudsman concerning compliance of the small business program with other pertinent federal regulations. The compliance advisory panels also makes certain that information affecting small business is written in a style that is clear and understandable.

## TYPES OF BUSINESS SUBJECT TO AIR POLLUTION CONTROLS

This are a general list of the typical kinds of small businesses affected by one or more of the air pollution control programs under the 1990 Clean air Act Amendments. All small businesses should consult their state pollution control agency for more specific details about the control that will be required in their area.

Agricultural Chemical Applicators	Bakeries	Furniture Manufactures	Hospitals	Metal Finishers
Asphalt Manufactures	Distilleries	Furniture Repairs	Laboratories	Newspapers
Asphalt Applicator	Dry Cleaners	Gasoline Services Stations	Lawnmower Repair Shops	Pest Control Operators
Auto Body Shops	Foundries	General Contractors	Lumber Mills	Photo Finishing Laboratories
Printing Shops	Textile Mills	Tax Paving Applicators	Refrigerator/Air Conditioning	Wood Finishers

## WHERE TO CALL FOR MORE INFORMATION AND HELP

## Small Business Ombudsman

Toll Free  
(800) 368-5888

Local and DC Area  
(202) 260-1211

T.D.C.  
(202) 260-1258

Fax  
(202) 401-2302

## OTHER EPA HOTLINES

- Center for Env. Research.....(513) 569-7562
- National Center for Environmental  
Publication and Information.....(800) 490-9198
- Indoor Air Quality Info. Clearinghouse.....(800) 438-4381
- EPA Energy Star.....(888) 782-7937
- Clean Air Tech. Center.....(919) 541-0800
- Mobile Sources (Emissions).....(734) 214-4333
- Emission Measurement Center.....(919) 541-0200
- Stratospheric Ozone Information.....(800) 296-1996
- Acid Rain (emiss. training, auctions, info.)...(202) 564-9620
- Safe Drinking Water (public water, supply  
Technical and regulatory issues).....(800) 426-4791
- Waste Water/Small Flows Clearinghouse  
(WV University).....(800) 426-8301
- Watershed Info. Resource System.....(800) 726-5253
- Water Resource Center.....(202) 260-7786
- Wetlands Information.....(800) 832-7828
- Pollution Prevention Info. Clearinghouse.....(202) 260-1023
- National Solid and Hazardous Waste  
Ombudsman.....(800) 262-7937
- Solid and Hazardous Waste (RCRA), Superfund  
(CERCLA), and Underground Storage Tanks  
(UST).....(800) 424-9361
- Emergency Planning & Community Right  
To Know Title III (EPCRA).....(800) 535-0202
- Toxic Substances Control Act (TSCA) &  
Asbestos Information.....(202) 554-1404
- Office of Pesticide Program Registration  
Division (Ombudsman).....(703) 305-5446
- Antimicrobial Ombudsman Bio-Pesticide  
Staff Assist.....(703) 308-6214
- National Pesticide Telecomm. Network.....(800) 858-7378
- EPA Waste Wise/Waste Reduction.....(800) 372-9473
- Brownfields.....(888) 795-4684
- Office of Environmental Justice.....(800) 962-6415
- Office of Pollution Prevention Toxic (OPPT)  
Small Business Liaison.....(202) 260-2983
- Chemical Emergency Preparedness and  
Prevention Office CEPPO Small Business  
Liaison.....(202) 260-7952
- National Center for Environmental Research  
(SBIR) Information Center (Enter 3 after  
the prompt).....(800) 490-9194

## EPA SMALL BUSINESS OMBUDSMAN

## OTHER HOTLINES OR OTHER HELP LINES

- Recycling Hotline.....(800) 253-2687
- National Technical Information  
Service (NTIS).....(800) 553-6847
- National Response Center/US Coast for  
Reporting Oil Spills and Hazardous  
Substance Releases.....(202) 267-2675
- Department of Energy (DOE)-National  
Alternative Fuels Hotline.....(800) 423-1363
- Energy-Efficiency & Renewable Energy  
Clearinghouse (Operated by the DOE) for  
Inquiries on Energy Related Matters).....(800) 363-3732
- DOT-Transportation of Haz. Matter.....(800) 467-4922
- CHEMTREC Center for NON-Emergency  
Services (Operated by the Chemical  
Manufacturers Association-Health &  
Safety).....(800) 262-8200
- Electric Magnetic Fields Information.....(800) 363-2383
- Center for Energy & Env. Management  
Courses on ISO 9000/14000.....(703) 250-5900
- National Lead Information Center.....(800) 424-5323  
(General Information).....(800) 532-3394
- Small Business Administration.....(800) 827-5722
- Occupational Safety & Health Admin.  
(OSHA) (Worker Safety Referral Svcs.)...(800) 321-6742
- American Lung Association (Connects to  
Local State Chapter).....(800) 586-4822
- Consumer Product Safety Comm.....(800) 638-2772
- Radon (Nat'l. Safety Council).....(800) 767-7236
- INFOTERRA/USA (EPA EFC).....(202) 260-5917
- Government Printing Office.....(202) 512-1800

## EPA REGIONAL SMALL BUSINESS LIAISONS

- Dwight Peavey - Region I.....(617) 565-3230
- Otto Salamon - Region II.....(212) 637-3417
- David Biro - Region III.....(215) 566-5563
- Annette Hill - Region IV.....(404) 562-8287
- Glynis Zywicki - Region V.....(312) 866-4571
- Patty Senna - Region VI.....(214) 665-7178
- Charles Hensley - Region VII.....(913) 551-7509
- Rob Laidlaw - Region VIII.....(303) 312-7064
- Frederick Leif - Region IX.....(415) 744-1017
- Lauri Hennessey - Region X.....(206) 553-1138

## Office of Small and Disadvantaged Business Utilization Directors with their Women-Owned Business Representatives (WOBREP)

### MAJOR FEDERAL EXECUTIVE PROCUREMENT AGENCIES

The OSDBUs offer small business information on procurement opportunities, guidance on procurement procedures, and identification of both prime and subcontracting opportunities.

**AGRICULTURE DEPARTMENT**

14<sup>th</sup> & Independence Ave., S.W.  
1323 South Building  
Washington, D.C. 20250-9400  
Director: Sharron Harris  
WOBREP: Stella Hughes  
Phone: (202) 720-7117  
FAX: (202) 720-3001

**AIR FORCE DEPARTMENT**

1060 Air force Pentagon - Rm. 5E271  
Washington, D.C. 20330-1060  
Director: Anthony J. DeLuca  
WOBREP: Judy Schlott  
Phone: (703) 697-1950  
FAX: (703) 614-9266

**ARMY DEPARTMENT**

106 Army Pentagon - Rm. 2A712  
Washington, D.C. 20310-0106  
Director: Tracey L. Pinson  
WOBREP: Sarah A. Cross  
Phone: (703) 697-2868  
FAX: (703) 693-3898

**COMMERCE DEPARTMENT**

14<sup>th</sup> & Const. Ave., N.W., Rm. H6411  
Washington, D.C. 20230  
Director: Tlaloc J. Garcia  
WOBREP: Brenda Black  
Phone: (202) 482-1472  
FAX: (202) 482-0501

**DEFENSE DEPARTMENT**

1777 North Kent Street, Suite 9100  
Arlington, VA 22209  
Director: Robert Neal  
Deputy: Tim Foreman  
WOBREP: Janet Koch  
Phone: (703) 588-8681

**DEFENSE LOGISTICS AGENCY**

8725 John J. Kingman Road  
ATTN: DDAS, Suite 2533  
Ft. Belvoir, VA 22060-6221  
Director: Lloyd C. Alderman  
Deputy: Anthony Kuddens  
WOBREP: Patricia A. Cleveland  
Phone: (703) 767-1650  
FAX: (703) 767-1670

**EDUCATION DEPARTMENT**

400 Maryland Ave., S.W., Rm. 3120  
Washington, D.C. 20202-0521 (FOB #3)  
Director: Viola Jaramillo  
Phone: (202) 708-9820  
FAX: (202) 401-6477

**ENERGY DEPARTMENT**

1000 Independence Ave., S.W., 5B-110  
Washington, D.C. 20585  
Director: James B. Lewis  
Acting Deputy: Ester Aguilera  
WOBREP: Marcia Haynes  
Phone: (202) 586-7377  
FAX: (202) 586-5488

**ENVIRONMENTAL PROTECTION AGENCY**

1200 Pennsylvania Ave., N.W.  
1230A, Rm. 6426 North Building  
Washington, D.C. 20460  
Director: Jeanette L. Brown  
Deputy: David Sutton  
WOBREPS: Trina Porter/Myrna Mooney  
Phone: (202) 564-4100  
FAX: (202) 501-0756

**GENERAL SERVICES ADMINISTRATION**

18<sup>th</sup> & F Street, N.W., Rm. 6029  
Washington, D.C. 20405  
Director: Jackie Robinson  
Deputy: Mirinda Jackson  
WOBREP: Elizabeth Ivey  
Phone: (202) 501-1021  
FAX: (202) 208-5938

**HEALTH & HUMAN SERVICES**

200 Independence Ave., S.W., rm. 517D  
Washington, D.C. 20201  
Director: Verl Zanders  
WOBREP: Angel Graves  
Phone: (202) 690-7300  
FAX: (202) 690-8772

**HOUSING & URBAN DEVELOPMENT DEPT.**

451 7<sup>th</sup> Street, S.W., Rm. 3130  
Washington, D.C. 20410  
Director: Casimir Bonkowski  
WOBREP: B. J. Douglas  
Phone: (202) 708-1428  
FAX: (202) 708-7642

**INTERIOR DEPARTMENT**

1849 C Street, N.W., Rm. 5524  
Washington, D.C. 20240  
Director: Robert Faithful  
WOBREP: Doris Sanford  
Phone: (202) 208-3493  
FAX: (202) 219-2131

**JUSTICE DEPARTMENT**

1331 Pennsylvania Ave., N.W., Rm. 1010  
National Place (The Shops)  
Washington, D.C. 20530  
Director: J. Ken Bryan  
WOBREP: Eleanore Geary  
Phone: (202) 616-0521  
FAX: (202) 616-1717

**LABOR DEPARTMENT**

200 Constitution Ave., Rm. C2318  
Washington, D.C. 20210  
Director: June M. Robinson  
WOBREP: Elaine Murrell  
Phone: (202) 219-9148  
FAX: (202) 219-9167

**NATIONAL AERONAUTICS & SPACE ADMIN.**

300 E. Street, S.W., Rm. 9K70, Code K  
Washington, D.C. 20546  
Assoc. Administrator: Ralph C. Thomas  
WOBREP: Vernell Jackson  
Phone: (202) 358-2088  
FAX: (202) 358-3261

**NAVY DEPARTMENT**

Washington Navy Yard, Building 36  
901 M Street, S.E.  
Washington, D.C. 20374-5015  
Acting Director: Joseph Horvath  
WOBREP: Nancy Tarrant  
Phone: (202) 685-6485  
FAX: (202) 865-6865

**STATE DEPARTMENT**

SA-6 Room 633  
Washington, D.C. 20522  
Director: Durie White  
WOBREP: Linda Taylor  
Phone: (703) 516-1953  
FAX: (703) 875-6825

**TRANSPORTATION DEPARTMENT**

400 7<sup>th</sup> Street, S.W., Rm. 9414  
Washington, D.C. 20590  
Director: Luz A. Hopewell  
WOBREP: Ms. Pat Hodge  
Phone: (202) 366-1930  
FAX: (202) 366-7228

**TREASURY DEPARTMENT**

1310 G Street, N.W., Rm. 400W  
Washington, D.C. 20220  
Director: Kevin Boshears x0376  
WOBREP: Mary Ellen-Dorsey  
Phone: (202) 622-0530  
FAX: (202) 622-4963

**VETERANS AFFAIRS DEPARTMENT**

801 I Street, N.W.  
OSDBU, OOSB - Rm. 1221  
Washington, D.C. 20420  
Director: Scott Dennison  
Deputy: Gail Wagner  
WOBREP: Jim Dunning  
Phone: (202) 565-8124  
FAX: (202) 565-8156