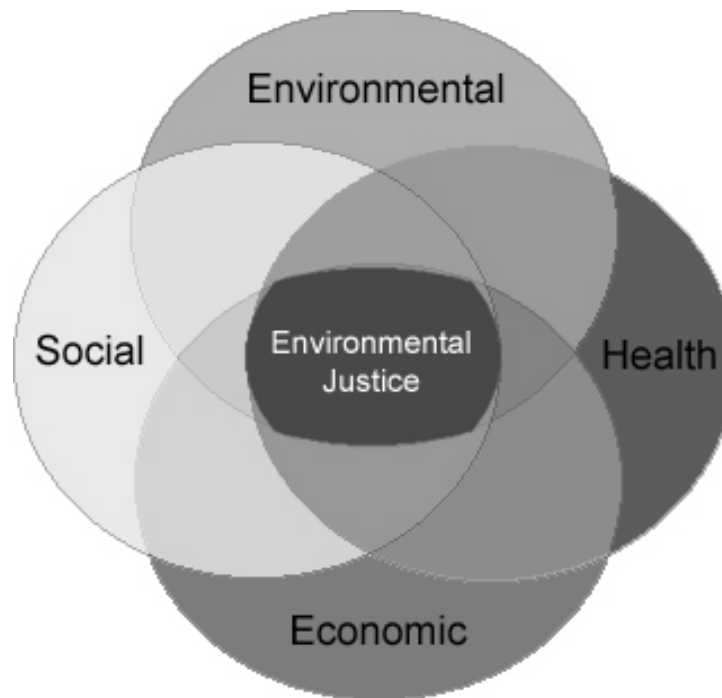




# *Environmental Justice Small Grants Program*

*Application Guidance  
FY 2005*



United States  
Environmental Protection  
Agency  
Office of Environmental Justice

Enforcement and  
Compliance Assurance  
(2201A)

February 2005

[http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

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## OVERVIEW INFORMATION

### A. Required Overview Content

1. Federal Agency Name: U.S. Environmental Protection Agency, Office of Environmental Justice
2. Funding Opportunity Title: Environmental Justice Small Grants Program
3. Announcement Type: Initial Announcement
4. Funding Opportunity No.: N/A
5. CFDA No.: 66.604
6. Dates: February 18, 2005 - April 4, 2005

This funding opportunity will be open from February 18, 2005 to April 4, 2005. The deadline for submission of completed application packages is April 4, 2005.

**Applications must be date stamped by courier service or postmarked by the U.S. Postal Service by midnight, Monday, April 4, 2005.**

### B. Optional, Additional Overview Content

1. Concise Description of Funding Opportunity

This document solicits grant applications from eligible community-based organizations to support projects that address a community's exposure to multiple environmental harms and risks. To be eligible to receive financial assistance, community-based organizations must be non-governmental, not-for-profit 501(c)(3) organizations located in the affected community.

The focus for this year's Environmental Justice Small Grants Program is collaborative partnerships. Each applicant must demonstrate collaboration between local community-based organizations and others (industry, federal, state and local governments, academia, and environmental organizations) to realize their project goals and objectives.

This program will fund two kinds of projects: Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA research) and multi-media.

#### a. CERCLA (hazardous substance research only)

Recipients of CERCLA research grants must implement projects that are specifically research oriented and specific to hazardous substances.

**b. Multi-media (research or other activities as allowed by statute)**

These projects must address pollution in more than one environmental medium (e.g., land, air, water). To show evidence of the breadth of the project's scope, the application must identify **at least two** environmental statutes that the project will address. To be eligible for funding, your project must include activities outlined in the environmental statutes found in Section III, C, 2.

This solicitation notice contains all the information and forms necessary to prepare a proposal. If your project is selected as a finalist after the evaluation process is concluded, EPA will provide you with additional federal forms needed to process your proposal.

**C. Total Amount to be Awarded:**

During fiscal year (FY) 2005 (October 1, 2004 - September 30, 2005), the EPA will make available \$750,000 in grant funds to local community-based organizations.

***Translations Available***

The Spanish translation of this application is available at 1-800-952-6215. It can also be downloaded at:

[http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

***This guidance includes the following:***

- I. Funding Opportunity Description
  - II. Award Information
  - III. Eligibility Information
  - IV. Application and Submission Information
  - V. Application Review Information
  - VI. Award Administration Information
  - VII. Agency Contact(s)
  - VIII. Other Information
- Application Package Checklist
- Appendix A: Application Forms, Completed Sample Forms and Budget Detail
- Appendix B: 40 CFR 30.27 "Allowable Costs".
- Appendix C: Guidance on Lobbying Restrictions
- Appendix D: Environmental Results Under Assistance Agreements Template
- Appendix E: Key Contacts Form
- Appendix F: Checklist for Determining Eligibility for CERCLA and Multi-Media Funding
- Appendix G: Quality Assurance Project Plan Checklist

## SECTION I - Funding Opportunity Description

### A. OVERVIEW

#### 1. Scope of the Environmental Justice Small Grants Program

The Environmental Protection Agency's Office of Environmental Justice (OEJ) established the Environmental Justice Small Grants Program in FY 1994. The purpose of this grant program is to provide financial assistance that will support and empower community-based organizations that are working on local solutions to local environmental and/or public health problems.

<u>Fiscal Year</u>	<u>\$ Amount</u>	<u>Number of Awards</u>
1994	500,000	71
1995	3,000,000	175
1996	2,800,000	152
1997	2,700,000	139
1998	2,500,000	123
1999	1,455,000	95
2000	899,000	61
2001	1,300,000	88
2002	1,113,000	73
2003	858,907	55
2004	423,545	17

Summaries of all the Environmental Justice Small Grants funded in FY 2004 and prior years are available on the OEJ website at [http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html).

#### 2. Environmental Justice Defined Under the Environmental Justice Small Grants Program

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

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out and facilitate the involvement of those potentially affected.

### **3. Purpose**

#### **a. Address Local Environmental and/or Public Health Issues**

The purpose of this grant program is to provide financial assistance that will support and empower community-based organizations that are working on local solutions to local environmental and/or public health problems. In addition, the applicant must demonstrate the ability to form collaborative partnerships (industry, federal, state and local governments, academia, and environmental organizations) and the ability to work with these collaborative partners in addressing local environmental and/or public health issues. See below for more details on collaborative partnerships.

#### **b. Create Collaborative Partnerships**

Collaboration is a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible. The focus for this year's Environmental Justice Small Grants Program is collaborative partnerships. For the FY 2005 grant opportunity, the applicant's ability to build partnerships and work with them to address local environmental and/or public health issues is required. Building a successful collaborative partnership requires vision, clear problem identification, organizational capacity and commitment, and individual leadership. This is an evolving process that grows from existing capacity on the part of the affected community as well as other stakeholder groups. For example, community groups may need support in accessing government resources while industry may need education on how to work effectively and proactively with communities. Several ways to achieve well structured multi-stakeholder collaborative partnerships include:

- (1) Establishing dialogues which lead to possible partnerships with all relevant stakeholders/parties, which invariably include the community, business, and government;
- (2) Ensuring clarity of goals, objectives, and a common vision among all members of the partnership;
- (3) Developing a clear, workable organizational structure and workplan to address communications and coordination needs of the collaborative partnership;
- (4) Identifying and recruiting partners to address the resource needs of a project (e.g., human, institutional, technical, legal, and financial);

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- (5) Strengthening partnerships as new issues and relationships are understood;
  - (6) Establishing processes that allow for the inclusion of new partners as they emerge; and
  - (7) Regularly sharing the outcomes of the project's collaborations with the impacted community via public meetings, newspaper articles, radio, etc. during the grant period, to encourage future collaborations.

#### **4. Type of Projects to be Funded**

For FY 2005, projects will be awarded using two sources of funding (CERCLA and multi-media). There are specific limitations placed on projects depending on the funding source. For instance, CERCLA projects are limited to research projects specific to hazardous waste, while multi-media projects can be research, survey, study, demonstration, or investigation. For more information on eligibility and limitations, see Section III, C.

##### **a. CERCLA (hazardous substance research only)**

Recipients of CERCLA research grants must implement projects that are specifically research oriented and specific to hazardous substances.

##### **b. Multi-media (research or other activities as allowed by statute)**

These projects must address pollution in more than one environmental medium (e.g., land, air, water). To show evidence of the breadth of the project's scope, the application must identify **at least two** environmental statutes that the project will address. To be eligible for funding, your project must include activities outlined in the environmental statutes found in Section III, C, 2.

#### **5. Environmental Results**

All applicants are required to link their projects to environmental results. Environmental results are used as a way to gauge a project's performance using output and outcome measures. The term "output" means an environmental activity, effort, and/or associated work product related to an environmental goal or objective, that will be produced or provided over a period of time or by a specific date. The term "outcome" means an environmental result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. To illustrate, an output would be the number of buses retro-fitted; while an outcome would be the decrease in the percentage of children suffering from asthma as a result of cleaner air.

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Environmental results not only assess the success of an applicant's project, they also gauge the effectiveness of EPA's programs by ensuring that EPA's limited resources are used to further the Agency's Strategic Goals. The Strategic Goal for the Environmental Justice Small Grants Program is:

Goal 4: Healthy Communities and Ecosystems  
Objective 4.2: Sustain, Clean-up, and Restore Communities and the Ecological Systems that Support Them  
Sub-objective 4.2.2: Restore Community Health

For more information on EPA's Strategic Plan go to:

<http://www.epa.gov/ocfopage/plan/plan.htm>

Therefore, all proposed projects must demonstrate how they will result in healthy communities and ecosystems. As part of the application, you will be required to complete the "Environmental Results in Assistance Agreements" template (See Appendix D).

## **SECTION II - Award Information**

The total amount of funding available for this program is approximately \$750,000 in grant funds to eligible organizations (pending availability of funds). Each award will be made in the form of a federal grant in the amount of \$25,000 to be used over a one year period. Each Region will receive \$75,000 to support local projects. From the \$75,000, one CERCLA research project (\$25,000) and two multi-media projects (\$25,000 each) will be awarded from each Region. The total project cost for each project must be exactly \$25,000. Please note that multi-media projects and CERCLA research projects have different requirements (See Section III, C). Therefore, you should be careful in drafting your proposal to ensure that your proposed project meets those requirements. You should clearly specify in your grant proposal the type of project (multi-media or CERCLA research) that you propose to conduct. Activities must be completed and funds spent within the one year period specified in the grant award, absent EPA approval. Project start dates will depend on the grant award date (most projects begin in August or September). The recipient organization is responsible for the successful completion of the project.

If you have received a grant from this program in the past, it is essential that you explain how your current proposal is different. This grant cannot be used to continue the activities in a previous project and is not intended to supplement existing projects.

Additionally, the Environmental Justice Small Grants Program is a competitive grant program. Every eligible application for FY 2005 will be evaluated based on the merits



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of the proposed project in comparison to other eligible FY 2005 applications.

**Applicants may not receive federal funding from more than one source for the same activities outlined in the grant application workplan.**

## **SECTION III - Eligibility Information**

### **A. ELIGIBLE APPLICANTS**

#### **1. Eligibility requirements**

An applicant must meet **all** of the requirements listed and must identify how it fits each of those requirements in the application. An applicant must be a non-government, not-for-profit 501(c)(3) local community-based organization.

An affected local community-based organization (LCBO) is defined as being in the locale which is influenced or altered by the environmental/public health problem and for this grant program as an entity/organization that is:

(1) located in the same area as the environmental and/or public health problem that is described in the application and where the residents of the affected community reside;

(2) comprised of members of the affected community;

(3) focused primarily on addressing the environmental and/or public health problems of the residents of the affected community; and

(4) at the most basic level of the organizational hierarchy such as a grassroots group/neighborhood organization that is not affiliated with a larger national, regional or state organization.

#### **2. Ineligible applicants**

The following is a list of entities **ineligible** to be a recipient under this grant program:

(1) Individuals;

(2) Universities;

(3) State governments;

(4) Local governments;

(5) Tribal governments;

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- (6) Water districts or similar entities;
  - (7) Large non-governmental organizations such as national environmental groups;
  - (8) Environmental justice networks;
  - (9) Local chapters of large non-governmental organizations or networks and
  - (10) Organizations that are not located in the affected communities where the projects are found.

## **B. COST SHARING OR MATCHING**

The award will be \$25,000 in EPA funds. Cost sharing or matching is **NOT** required.

## **C. OTHER ELIGIBILITY CRITERIA**

### **1. Eligible Projects**

CERCLA projects are limited to research projects specific to hazardous waste, while multi-media projects can include research or other activities that are allowed under the applicable statute (See below). Please note that a project funded as either CERCLA or multi-media can be research. See below for project specific requirements for CERCLA research and multi-media projects. Each Region has the discretion to fund a project using either of the funding sources (CERCLA or multi-media) if it is determined that the project can fit under both programs (See Appendix F for more information). Please note that even if an applicant qualifies under both programs, it can only be awarded **ONE grant if selected**.

#### **a. What is Research?**

The definition of research is applicable to both CERCLA research projects and multi-media projects that are research in nature. The EPA's grant regulations define "research" as "systematic study directed toward fuller scientific knowledge or understanding of the subject studied," 40 CFR 30.2(dd). The EPA has interpreted "research" to include studies that extend to socioeconomic, institutional, and public policy issues and the "natural" sciences.

These projects are to support and empower community-based organizations to do research on environmental harms and risks associated with exposure to multiple stressors. Sources of harms and risks may include multiple industrial facilities and the various contaminants they emit, environmental hazards at the workplace or home, transportation-related pollution, concerns about consumption of contaminated drinking water, fish or other subsistence food. These situations

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may occur in urban, suburban, rural or tribal settings. One goal of this program is to help communities identify and understand the many environmental and/or public health concerns that may exist. Research should take into account the multiple impacts of various pollutants in the communities' environment. In environmentally overburdened low-income, minority or tribal communities, research that focuses on the impacts from multiple environmental harms and risks can greatly assist communities in understanding their environmental problems and developing more effective solutions to their environmental and/or public health concerns. The research may become a catalyst for reducing exposure to or reducing the health impact from environmental stressors in the communities. (See Section VI, E and Appendix G for more information about the requirement for a Quality Assurance Project Plan for research projects.)

### **b. What Kind of Project Can Be Funded Under Multi-media Funding?**

The projects under this category are less restrictive than those funded under CERCLA and are open to a variety of different categories. Projects can be research or other kinds of activities allowable by statute. **The only limitation is that it must address an environmental and/or public health issue involving two or more applicable statutes (See below).**

- (1) *Clean Water Act*, Section 104(b) (3): conduct and promote the coordination of research, investigations, experiments, training, demonstration, surveys, and studies relating to the causes, extent, prevention, reduction, and elimination of water pollution.
- (2) *Safe Drinking Water Act*, Section 1442(c)(3)(A): develop, expand, or carry out a program (that may combine training, education, and employment) for occupations relating to the public health aspects of providing safe drinking water.
- (3) *Solid Waste Disposal Act*, Section 8001(a): conduct and promote the coordination of research, investigations, experiments, training, demonstrations, surveys, public education programs, and studies relating to solid waste (e.g., health and welfare effects of exposure to materials present in solid waste and methods to eliminate such effects).
- (4) *Clean Air Act*, Section 103(b) (3): conduct research, investigations, experiments, demonstrations, surveys, and studies related to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution.
- (5) *Toxic Substances Control Act*, Section 10(a): conduct research, development, monitoring, public education, training, demonstrations, and

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studies on toxic substances

- (6) *Federal Insecticide, Fungicide, and Rodenticide Act*, Section 20(a): conduct research, development, monitoring, public education, training, demonstrations, and studies on pesticides.
- (7) *Marine Protection, Research, and Sanctuaries Act*, Section 203: conduct research, investigations, experiments, training, demonstrations, surveys, and studies relating to the minimizing or ending of ocean dumping of hazardous materials and the development of alternatives to ocean dumping.

**c. What Kind of Projects Can Be Funded Under CERCLA Funding?**

Recipients of CERCLA research grants must implement projects that are specifically research oriented and specific to hazardous substances (i.e., survey, research, collecting and analyzing data). For a detailed definition of “research” see Section III, C, 1, a. Under CERCLA, your research project **MUST** meet the following criteria:

- (1) CERCLA, Section 311(c) authorizes EPA to fund research grants. Therefore, Superfund grants can only be awarded when the project is of a research nature. Research must relate to the detection, assessment, and evaluation of the effects on and risks to human health from hazardous substances and the detection of hazardous substances in the environment.
- (2) Applicants must demonstrate that the research project relates to “hazardous substances” as that term is defined by CERCLA 101(14). There is a list of hazardous substances at 40 CFR 302.4 which, while not exclusive, does provide useful guidance.
- (3) Research funded under CERCLA 311(c) cannot relate to contamination from petroleum products in accordance with the definition of hazardous substances found at CERCLA 101(14). Projects that involve petroleum contamination that is “mixed” with other contaminants may be considered on a case by case basis.
- (4) The project must be of a research nature only (i.e., survey, research, collecting and analyzing data) which will be used to expand scientific knowledge or understanding of the subject studied. Research projects, however, need not be limited to academic studies; they may expand the scientific knowledge or understanding of a community about hazardous

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substances issues that effect their community.

- (5) The project cannot carry out training activities, other than training in research techniques. In other words, CERCLA 311(c) research projects cannot be designed as outreach, technical assistance, or public education activities.
- (6) The project can include conferences **only if** the purpose of the conference is to present research results produced as part of this funded project or to gather research data.

## **2. Ineligible Projects**

Projects **ARE NOT ELIGIBLE TO BE FUNDED** under this grant program that would:

- (1) Conduct health surveys unrelated to a specific environmental and/or public health issue; or
- (2) Conduct human health testing.

# **SECTION IV - Application and Submission Information**

## **A. ADDRESS TO REQUEST APPLICATIONS**

### **1. Request for Applications (RFA)**

FY 2005 Environmental Justice Small Grants Program's Request for Applications is available electronically on [www.fedgrants.gov](http://www.fedgrants.gov) and [http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html). Hard copies are available upon request by contacting your regional office listed in Section VII.

### **2. Application Forms**

To download the required applications forms (See Section IV, B below) go to the following web-site at: <http://www.epa.gov/ogd/AppKit/application.htm>.

### **3. Federal Grants Regulations**

To get more information on Federal regulations governing grants management go to the following web-site at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.html](http://www.epa.gov/ogd/grants/how_to_apply.html)

**B. CONTENT AND FORM OF APPLICATION SUBMISSION**

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

- (1) **The Application for Federal Assistance (SF 424)** is the official form required for all federal grants that requests basic information about the grantee and the proposed project. The applicant must submit the original application form, and one copy, signed by a person duly authorized by the governing board of the applicant. Please complete Part 10 of the SF 424 form, “Catalog of Federal Domestic Assistance Number” with the following information: 66.604 - Environmental Justice Small Grants Program. **Grant applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants. Organizations can receive a DUNS number in one day, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-0025.** The website where an organization can obtain a DUNS number is: <http://www.dnb.com>. See Appendix A for a copy of Form 424 and a completed sample.
- (2) **The Federal Standard Form (SF 424A)** which provides information on your budget. **For the purposes of this grant program, complete only the non-shaded areas of SF 424A.**
- (3) **A detailed budget** with estimates that support your work plan narrative. See Appendix A for a sample of a detailed budget.
- (4) **A work plan narrative** not to exceed five (5) pages which describes the applicant’s proposed project. The pages of the work plan must be letter size (8 ½ x 11 inches), with normal type size (12 characters per inch), and at least 1 inch margins. The work plan narrative is **one of the most important** aspects of your application and (assuming that all other required materials are submitted) will be used as the primary basis for selection. Work plans must be submitted as follows:
  - a. **A one-page summary that identifies the following:**
    1. Environmental and/or public health concerns to be addressed by the project;
    2. The community/target audience;
    3. The project goal(s) and how the goals will be achieved;

4. Applicable environmental statute(s) (CERCLA or statutes listed under Section III, C, 1, b).

**b. A concise introduction that states:**

1. The nature of the organization (i.e., how long it has been in existence and how the applicant meets the definition of an affected local community-based organization);
2. How the organization has been successful in the past on other projects;
3. The type (CERCLA research or multi-media) and purpose of the project (i.e., what do you hope to accomplish by undertaking the project);
4. Detailed characteristics of the affected community/target audience (racial, ethnic and socioeconomic);
5. Project's completion plans/time-frames; and

**c. A concise project description that includes:**

1. The details of the specific environmental and/or public health issues to be addressed; and
2. An implementation plan that describes in chronological order the activities you will undertake to carry out this project.

**d. A concise description of the collaborative partnership(s) that include:**

1. How the collaborative partners will participate in the project;

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2. The strategies for cooperation and communication with the identified collaborative partners;
  3. The specific steps you have and/or will undertake to engage in constructive engagement among collaborative partners; and
  4. How you plan to maintain and sustain the collaborative partnerships.
- e. A written narrative description of key personnel** who will work on the project and their qualifications for undertaking the project. You must also submit resumes as an appendix (See item 6 below).
- f. A description of managing federal funds\*** including information on all adverse audit findings made within the last five years and special or “high risk” terms and conditions imposed as a result of grant compliance issues within the last five years and your history of providing required reports and other project deliverables in a timely manner.
- \*Note: If you have not previously received Federal funds, you may provide a history of your past performance with private funding, or funding awarded by state, tribal or local governments. Applicants who have not performed projects with outside financing may provide information regarding academic or community projects.*
- (5) **Environmental Results under Assistance Agreements** template that demonstrates how your project will further EPA’s Strategic Plan for *Healthy Communities and Ecosystems* using appropriate outputs and outcomes (complete the template in Appendix D).
  - (6) **An appendix with resumes** of up to three key personnel who will be significantly involved in the project (complete Key Contacts form in Appendix E).
  - (7) **Documentation of nonprofit status** which indicates the organization’s 501(c)(3) nonprofit designation.
  - (8) **Checklist for Determining Eligibility for CERCLA and Multi-Media Funding** to determine if your project can be funded under both programs. Please note that even if an applicant qualifies under both programs, it can only be awarded ONE grant if selected (complete the checklist in Appendix F).
  - (9) **The Quality Assurance Project Plan Checklist**, completed for all research project applications (complete the checklist in Appendix G).
  - (10) A List which includes the title of the project and amount of funding provided by EPA for any other grants or cooperative agreements from EPA in the last three



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years.

***Applications that do not include all applicable information listed above, will not be considered for an award. Applications that propose projects that are ineligible for funding or are not consistent with applicable environmental statutes (Section III, C) will not be evaluated.***

### **C. SUBMISSION DATES AND TIMES**

The full application package must be **date stamped by courier service or postmarked by the U.S. Postal Service by midnight, Monday, April 4, 2005**. Use the appropriate EPA regional office address listed in Section VII.\_\_\_\_

### **D. CONFIDENTIALITY AND INTERGOVERNMENTAL REVIEW**

#### **1. Confidentiality**

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

#### **2. Intergovernmental Review**

Your application to this EPA program may be subject to your state's intergovernmental review process and/or the consultation requirements of Section 204, Demonstration Cities and Metropolitan Development Act. See 40 CFR Part 29 for details. Check with your state's Single Point of Contact to determine your requirements. Some states do not require this review. Applicants from American Samoa, Guam, Puerto Rico, and the U.S. Virgin Islands should also check with their Single Point of Contact. A list of the states Single Point of Contact is available at <http://www.whitehouse.gov/omb/grants/spoc.html>.

### **E. ARE THERE ANY RESTRICTIONS ON THE USE OF THE FEDERAL FUNDS?**

**Yes.** EPA grant funds can only be used for the purposes set forth in the grant agreement, and be consistent with the statutory authority for the award and be allowable under OMB Circular A-122. Grant funds from this program cannot be used for matching funds for other federal grants, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, the recipient **may not use these federal assistance funds to sue the federal government or any other government entity**. Refer to 40 CFR 30.27, entitled "Allowable Costs" (see Appendix B). The scope of environmental justice grants **may not include construction, promotional items (e.g.,**

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T-shirts, buttons, hats), and furniture purchases. Applicants may not receive federal funding from more than one source for the same activities outlined in the grant application workplan.

## SECTION V - Application Review Information

### A. EVALUATION CRITERIA

All applications will be reviewed and scored according to the following criteria:

#### 1. Threshold Criteria

Proposals **will not be scored** if any of the following conditions exist:

- (1) The applicant does not meet the qualifications of a local community-based organization, Section III, A (regional offices **may** contact applicants to obtain clarification);
- (2) Application proposes a project that is inconsistent with the requirements for eligible projects for this program, Section III, C (regional offices **may not** provide an opportunity to provide clarification);
- (3) The application does not include all items listed in **Section IV, B**.

#### 2. Scoring Criteria

Applications meeting the threshold criteria will be scored by an EPA Review Panel, consisting of regional staff. The corresponding points next to each criterion are the weights EPA will use to score the applications. Points will range depending on how well the applicant addresses the given criterion. Please note that certain sections are given greater weight than others. The application will be scored based on the following evaluation criteria:

- (1) **Complete work plan narrative addressing all of the below items (65 points).**

The project work plan narrative is one of the most important components of your application and (assuming that all other required materials are submitted) will be the primary basis for selection. The work plan narrative must provide the following information:

**a. A one-page summary that identifies the following (5 points total):**

1. Environmental and/or public health concern to be addressed by the

project (**2 points**);

2. The community/target audience (**1 point**);
3. The program goal(s) that the project will meet and how it will meet it (**1 point**); and
4. Applicable environmental statute(s) (CERCLA or statutes listed under Section III, C, 1, b) (**1 point**). Please note that under certain circumstances, the Region has the discretion to fund your project under CERCLA or multi-media (See Appendix F for more information).

**b. A concise introduction (10 points total):**

1. The nature of the organization: 1) how long it has been in existence (**1 point**); and 2) how the applicant meets the definition of an affected local community-based organization (**1 point**);
2. How the organization has been successful in the past on other projects (**2 points**);
3. The type (CERCLA research or multi-media) and purpose of the project (**2 points**);
4. Detailed characteristics of the affected community/target audience (racial, ethnic and socioeconomic) (**2 points**); and
5. Project's completion plans/time-frames (**2 point**).

**c. A concise project description (25 points total):**

1. The details of the specific environmental and/or public health issues to be addressed (**10 points**); and
2. An implementation plan describing in chronological order the activities that will be undertaken (**15 points**).

**d. A concise description of the collaborative partnership (25 points total):**

1. Describe how the collaborative partners will participate in the

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project (**5 points**);

2. Explain the strategies for cooperation and communication with the identified collaborative partners (**5 points**);
3. Describe the specific steps you have and/or will undertake to engage in constructive engagement among collaborative partners (**5 points**); and
4. Describe how you plan to maintain and sustain the collaborative partnerships (**10 points**).

(2) ***A completed “Environmental Results Under Assistance Agreements” template (15 points total)*** (See Appendix )

The activities under your project must demonstrate how they will further EPA’s Strategic Plan for *Healthy Communities and Ecosystems* using appropriate outputs and outcomes.

(3) ***A written narrative of key personnel who will work on the project and their qualifications for undertaking the project (5 points)***

(Attention: The qualifications of the recipient’s Project Manager is subject to approval by the EPA Project Officer.)

(4) ***A detailed budget (10 points)***

Must demonstrate how the funds will be specifically used in terms of personnel, fringe benefits, travel, equipment, supplies, and other costs. Funds cannot be used for construction, lobbying, or litigation against the government.

(5) ***Describe your history of managing federal funds\* generally (5 points total)***

- a. You must describe how you have effectively managed grants in the past. If you have had adverse audit findings made within the last five years and/or special or “high risk” terms and conditions imposed as a result of grant compliance issues within the last five years please describe the circumstances (**2 points**).
- b. Describe your history of providing required reports and other project deliverables in a timely manner (**3 points**).

*\*Note: If you have not previously received Federal funds, you may provide a history of your past performance with private funding, or funding awarded by state, tribal or local governments. Applicants who have not performed projects with outside financing may provide information regarding academic or community projects.*

## **B. REVIEW AND SELECTION PROCESS**

The **EPA regional offices** will review, evaluate, and select grant recipients. Applications will be screened to ensure that they meet all eligibility and threshold requirements described in Sections III and IV. Applications which meet the threshold requirements will be scored by regional review panels based on the evaluation criteria outlined above. After the individual projects are scored, the **EPA regional officials** will compare the best applications and make final recommendations.

Additional factors that the EPA will take into account include geographic and socioeconomic balance, diverse nature of the projects and cost effectiveness. Regional Administrators will select the final grants. Please note that this is a competitive grant program and limited funding is available. Therefore, the Agency cannot fund all applications. EPA reserves the right to reject all applications and make no awards under this announcement. A listing of other EPA grant programs may be found in the Catalog of Federal Domestic Assistance. This publication is available on the internet at [www.cfda.gov](http://www.cfda.gov) and at local libraries, colleges, and universities.

## **C. ANTICIPATED ANNOUNCEMENT AND AWARD DATES**

<b>Feb. 18, 2005</b>	FY 2005 Environmental Justice Small Grants Program Application Guidance in English and Spanish is available on <a href="http://www.fedgrants.gov">www.fedgrants.gov</a> and <a href="http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html">http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html</a> . Hard copies are available upon request.
<b>Feb. 18, 2005 to April 4, 2005</b>	Eligible grant recipients develop and complete their applications.
<b>April 4, 2005</b>	Application due to corresponding Regional Office listed in Section VII which must be <b>date stamped by courier service or postmarked by the U.S. Postal Service by midnight, Monday, April 4, 2005.</b>
<b>April 4, 2005 to May 15, 2005</b>	EPA program officials review and evaluate applications and select grant finalists
<b>May 16, 2005 to June 30, 2005</b>	Applicants will be contacted by the Region if their applications are being considered for funding. Additional information may be required from the finalists, as indicated in Section VI, A. The EPA regional grants offices will

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process grants and make awards.

**August 1, 2005**

EPA expects to announce the grant recipients of the FY 2005 Environmental Justice Small Grants Program.

## **SECTION VI - Award Administration Information**

### **A. AWARD NOTICES**

After all applications are received, acknowledgments will be mailed to applicants. Once applications have been recommended for funding, the EPA Regions will notify the finalists and request any additional information necessary to complete the award process. The finalists will be required to complete additional government application forms before receiving a grant, such as the EPA Form SF-424B (Assurances - Non-Construction Programs) and EPA Form 5700-49, the Certification Regarding Debarment, Suspension, and Other Responsibility Matters. The federal government requires all grantees to certify and assure that they will comply with all applicable federal laws, regulations, and requirements. The designated EPA official or their designees will notify those applicants whose projects are not selected for funding.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

All non-profit applicants are subject to 40 CFR Parts 30 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Educations, Hospitals, and other Non-Profit Organizations", OMB Circular A-122 "Cost Principles for Non-profit Organizations", and OMB Circular A-133 "Audit Requirements for States, Local Governments, and Non-Profit Organizations".

### **C. REPORTING**

Unless specified in the award, all recipients must submit final reports for EPA approval within ninety (90) days of the end of the project period. Specific report requirements (e.g., Quarterly or Semiannual Progress Reports, a Final Technical Report and a Financial Status Report) will be described in the award agreement. The EPA will collect, review, and disseminate grantees' final reports to serve as models. For further information about this program, please visit OEJ's Web site at [http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

**D. DISPUTES**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at:

<http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>

Copies of these procedures may also be requested by contacting the primary contact at the respective EPA regional office listed in Section VII - Agency Contact(s).

**E. QUALITY ASSURANCE PROJECT PLANS (QAPP)**

A QAPP is a planning document for environmental data collection that describes the necessary quality assurance and quality control activities that must be implemented to ensure that the results of the study or investigation will be adequate to meet the established performance criteria.

Environmental data can include any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data are defined as either primary data (i.e., information collected directly from measurements) or secondary/existing data (i.e., data that were collected for other purposes or obtained from other sources, including literature, surveys, models, databases, and information systems).

Every research project will be reviewed to determine if a Quality Assurance Project Plan (QAPP) will be required. If required, the QAPP must be submitted to your EPA Project Officer prior to beginning of your research project that include scientific research and/or data collection. To assist you in determining whether you need a QAPP for primary or secondary data collection we have included a checklist in Appendix G. If you answer yes to any of the questions, we have provided a template to assist you in preparing your QAPP. The template is available on the OEJ Web site, <http://www.epa.gov/compliance/environmentaljustice/grants/index.html>. For more information and guidance on preparing Quality Assurance Project Plans visit the Web sites <http://www.epa.gov/quality/qapps.html> and <http://www.epa.gov/quality/exmural.html#graded>.

## SECTION VII - Agency Contact(s)

### A. *WHEN AND WHERE MUST APPLICATIONS BE SUBMITTED?*

The applicant must submit/mail one signed **original** application with required attachments and **one copy** to the primary contact at the respective EPA regional office listed below. The application must be **date stamped by courier service or postmarked by the U.S. Postal Service by midnight, Monday, April 4, 2005.**

### REGIONAL CONTACT NAMES AND ADDRESSES

<i>Region 1</i>	<i>Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont</i>
Primary Contact:	Davina Wysin (617) 918-1020 <a href="mailto:wysin.davina@epa.gov">wysin.davina@epa.gov</a> USEPA Region 1 (RAA) One Congress Street - Suite 1100 Boston, MA 02203-0001
Secondary Contact:	Sires Rivers (617) 918-1343 <a href="mailto:rivers.sires@epa.gov">rivers.sires@epa.gov</a>
<i>Region 2</i>	<i>New Jersey, New York, Puerto Rico, U.S. Virgin Islands</i>
Primary Contact:	Terry Wesley (212) 637-5027 <a href="mailto:wesley.terry@epa.gov">wesley.terry@epa.gov</a> USEPA Region 2 290 Broadway, 26th Floor New York, NY 10007
Secondary:	Tasha Frazier (212) 637-3861 <a href="mailto:frazier.tasha@epa.gov">frazier.tasha@epa.gov</a>
<i>Region 3</i>	<i>Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia</i>
Primary Contact:	Reginald Harris (215) 814-2988 <a href="mailto:harris.reggie@epa.gov">harris.reggie@epa.gov</a> USEPA Region 3 (3DA00) 1650 Arch Street Philadelphia, PA 19103-2029
<i>Region 4</i>	<i>Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee</i>
Primary Contact:	Elvie Barlow (404) 562-9650 <a href="mailto:barlow.elvie@epa.gov">barlow.elvie@epa.gov</a> USEPA Region 4 Main Office (404) 562-8407 61 Forsyth Street Atlanta, GA 30303-8960
Secondary:	Ella McLendon (404) 562- 8316 <a href="mailto:mclendon.ella@epa.gov">mclendon.ella@epa.gov</a>



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<b>Region 5</b>	<b>Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin</b>
Primary Contact:	Margaret Millard (312) 353-1440 <a href="mailto:millard.margaret@epa.gov">millard.margaret@epa.gov</a> USEPA Region 5 (DM7J) 77 West Jackson Boulevard Chicago, IL 60604-3507
Secondary:	Alan Walts (312) 353-8894 <a href="mailto:walts.alan@epa.gov">walts.alan@epa.gov</a>
<b>Region 6</b>	<b>Arkansas, Louisiana, New Mexico, Oklahoma, Texas</b>
Primary Contact:	Shirley Quinones (214) 665-2713 <a href="mailto:quinones.shirley@epa.gov">quinones.shirley@epa.gov</a> USEPA Region 6 Fountain Place, 13 <sup>th</sup> Floor 1445 Ross Avenue (RA-D) Dallas, Texas 75202-2733
Secondary Contact:	Nelda Perez (214) 665-2209 <a href="mailto:perez.nelda@epa.gov">perez.nelda@epa.gov</a>
<b>Region 7</b>	<b>Iowa, Kansas, Missouri, Nebraska</b>
Primary Contact:	Althea Moses (913) 551-7649 <a href="mailto:moses.althea@epa.gov">moses.althea@epa.gov</a> USEPA Region 7 901 North 5 <sup>th</sup> Street (RGAD/ECO) Kansas City, KS 66101
<b>Secondary</b>	Monica Espinosa (913) 551-7058 <a href="mailto:espinosa.monica@epa.gov">espinosa.monica@epa.gov</a>
<b>Region 8</b>	<b>Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming</b>
Primary Contact:	Nancy Reish (303) 312-6040 <a href="mailto:reish.nancy@epa.gov">reish.nancy@epa.gov</a> USEPA Region 8 (8ENF-EJ) 999 18th Street, Suite 300 Denver, CO 80202-2466
Secondary:	Jean Belille (303) 312-6556 <a href="mailto:belille.jean@epa.gov">belille.jean@epa.gov</a>
<b>Region 9</b>	<b>Arizona, California, Hawaii, Nevada, American Samoa, Guam</b>
Primary Contact:	Romel Pascual (415) 972-3795 <a href="mailto:pascual.romel@epa.gov">pascual.romel@epa.gov</a> USEPA Region 9 CMD-1 75 Hawthorne Street San Francisco, CA 94105
Secondary:	Nate Lau (415) 972-3839 <a href="mailto:lau.nate@epa.gov">lau.nate@epa.gov</a>
<b>Region 10</b>	<b>Alaska, Idaho, Oregon, Washington</b>
Primary Contact:	Susanne Salcido (206)-553-1687 <a href="mailto:salcido.susanne@epa.gov">salcido.susanne@epa.gov</a> USEPA Region 10 (OMP-143) 1200 Sixth Avenue Seattle, WA 98101
Secondary:	Victoria Plata (206) 553-8580 <a href="mailto:Plata.victoria@epa.gov">Plata.victoria@epa.gov</a>

## SECTION VIII - Other Information

**A. *How Can I Receive Information on the Fiscal Year 2006 (October 1, 2005 to September 30, 2006) Environmental Justice Small Grants Program?***

If you wish to subscribe the EPA-EJ listserv go to <http://www.epa.gov/compliance/resources/listserv.html>, select "Environmental Justice", add your email address, name, select subscribe and submit. You will receive current news as well as information on the FY 2006 Environmental Justice Small Grants Program. You may also email your request along with your name, organization, address, and phone number to [lewis.sheila@epa.gov](mailto:lewis.sheila@epa.gov) or mail your request along with your name, organization, address, and phone number to:

U.S. Environmental Protection Agency  
Environmental Justice Small Grants Program (2201A)  
FY 2006 Grants Mailing List  
1200 Pennsylvania Avenue, NW  
Washington, D.C. 20460  
1 (800) 962-6215

If you wish to receive information on local environmental justice programs, you may mail or email your request along with your name, organization, address, and phone number to the appropriate regional office listed above. Thank you for your interest in the Environmental Justice Small Grants Program.

<b>APPLICATION PACKAGE CHECKLIST</b>
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- Application Form - SF 424, 424A including a budget worksheet
- Budget Detail
- Work plan narrative - Prepared according to instructions provided
- Environmental Results under Assistance Agreements (Appendix D)
- Resumes of key personnel ( Key Contact form - Appendix E)
- Documentation of nonprofit status
- Checklist for Determining Eligibility for CERCLA and Multi-Media Funding (Appendix F)
- Complete Quality Assurance Project Plan checklist, if applicable (Appendix G)

**Appendix A - Application Forms, Completed Sample Forms and Budget Detail**  
(Standard Forms 424 and 424A)

Application Packages are available on [http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html) in Adobe pdf format. To view the Adobe file, you will need the Adobe Acrobat plug-in for your browser.

# APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application		2. DATE SUBMITTED 2/17/05	Applicant Identifier
<input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name: ACME Non-profit		Organizational Unit: Department:	
Organizational DUNS: 55-55555		Division:	
Address:		Name and telephone number of person to be contacted on matters involving this application (give area code)	
Street: 1313 Mockingbird Lane		Prefix: Mr.	First Name: Charles
City: Anywhere, USA		Middle Name: Middle Name	
County: Anywhere		Last Name: Brown	
State: OK	Zip Code: 11111	Suffix:	
Country: USA		Email: Name.name@helpme.org	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <b>00-0000000</b>		Phone Number (give area code) xxx-xxx-xxxx	Fax Number (give area code) xxx-xxx-xxxx
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)  Other (specify)		7. TYPE OF APPLICANT: (See back of form for Application Types)  Only Category Eligible IS: 501(c)3 Local Community-Based Non-Profit  Other (specify)	
10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <b>66.604</b> TITLE (Name of Program): Environmental Justice Small Grants Program		9. NAME OF FEDERAL AGENCY: US Environmental Protection Agency	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Include title and a paragraph describing your project.	
13. PROPOSED PROJECT Start Date: 10/1/05		14. CONGRESSIONAL DISTRICTS OF: a. Applicant	
Ending Date: 9/30/06		b. Project	
15. ESTIMATED FUNDING: \$25,000		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ 25,000	a. Yes <input checked="" type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$ 0	DATE: 8/1/05	
c. State	\$ 0	b. No <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$ 0	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ 0	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
f. Program Income	\$ 0	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$ 25,000	18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.	
a. Authorized Representative			
Prefix Mr.	First Name Charles	Middle Name Middle Name	
Last Name Brown		Suffix	
b. Title President	c. Telephone Number (give area code) xxx-xxx-xxxx		
d. Signature of Authorized Representative <i>Charles Middle Name Brown</i>	e. Date Signed NO LATER THAN 4/5/05		

# APPLICATION FOR FEDERAL ASSISTANCE

		2. DATE SUBMITTED	Applicant Identifier	
1. TYPE OF SUBMISSION: Application		3. DATE RECEIVED BY STATE	State Application Identifier	
<input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier	
<input type="checkbox"/> Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction				
5. APPLICANT INFORMATION				
Legal Name:		Organizational Unit:		
		Department:		
Organizational DUNS:		Division:		
Address:		Name and telephone number of person to be contacted on matters involving this application (give area code)		
Street:		Prefix:	First Name:	
City:		Middle Name:		
County:		Last Name:		
State:	Zip Code:	Suffix:		
Country:		Email:		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		Phone Number (give area code)	Fax Number (give area code)	
<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>				
8. TYPE OF APPLICATION:		7. TYPE OF APPLICANT: (See back of form for Application Types)		
<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)		Other (specify)		
Other (specify)		9. NAME OF FEDERAL AGENCY:		
10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>				
TITLE (Name of Program):				
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc):				
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:		
Start Date:	Ending Date:	a. Applicant	b. Project	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$	a. Yes <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON		
b. Applicant	\$	DATE:		
c. State	\$	b. No <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372		
d. Local	\$	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
e. Other	\$	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		
f. Program Income	\$	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No		
g. TOTAL	\$			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.				
a. Authorized Representative				
Prefix	First Name	Middle Name		
Last Name			Suffix	
b. Title				c. Telephone Number (give area code)
d. Signature of Authorized Representative				e. Date Signed

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable)	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	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.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled</td> </tr> <tr> <td>B. County</td> <td>Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify)</td> </tr> <tr> <td>H. Independent School District</td> <td>O. Not for Profit Organization</td> </tr> </table>	A. State	I. State Controlled	B. County	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)	H. Independent School District	O. Not for Profit Organization	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.
A. State	I. State Controlled																		
B. County	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)																		
H. Independent School District	O. Not for Profit Organization																		
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. Increase Award</td> <td style="width: 50%;">B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	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.)												
A. Increase Award	B. Decrease Award																		
C. Increase Duration	D. Decrease Duration																		
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 0348-0044

**SECTION A - BUDGET SUMMARY**

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

**SECTION B - BUDGET CATEGORIES**

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$11,800.00	\$	\$	\$	\$11,800.00
b. Fringe Benefits	2,006.00				2,006.00
c. Travel	1,480.00				1,480.00
d. Equipment	2,223.00				2,223.00
e. Supplies	2,200.00				2,200.00
f. Contractual	3,149.00				3,149.00
g. Construction					
h. Other	2,142.00				2,142.00
i. Total Direct Charges (sum of 6a-h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$ 25,000.00	\$	\$	\$	\$ 25,000.00
7. Program Income	\$ 0	\$	\$	\$	\$ 0

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Standard Form 424A (Rev. 7-97)  
Prescribed by OMB Circular A-102

\*\*\*\*\***SAMPLE**\*\*\*\*\*



**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. NONE	\$ N/A	\$ N/A	\$ N/A	\$ N/A
9.				
10.				
11.				
12. TOTAL (sum of lines 8 and 11)	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

13. Federal	(Total for 1stYear)	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$ 25,000	\$10,000	\$5,000	\$5,000	\$5,000
14. Non-Federal	0	0.00	0.00	0.00	0.00
15. TOTAL (sum of lines 13 and 14)	\$ 25,000	\$ 10,000	\$5,000	\$5,000	\$5,000

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

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

**SECTION F - OTHER BUDGET INFORMATION**

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

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\*\*\*\*\*SAMPLE\*\*\*\*\*

**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.		\$	\$	\$	\$	\$ 0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel					0.00	
b. Fringe Benefits					0.00	
c. Travel					0.00	
d. Equipment					0.00	
e. Supplies					0.00	
f. Contractual					0.00	
g. Construction					0.00	
h. Other					0.00	
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00	
j. Indirect Charges					0.00	
k. TOTALS (sum of 6i and 6j)		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
7. Program Income		\$	\$	\$	\$	\$ 0.00

<b>SECTION C - NON-FEDERAL RESOURCES</b>				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.				\$ 0.00
9.				\$ 0.00
10.				\$ 0.00
11.				\$ 0.00
12. Total (SUM OF LINES 8-11)				\$ 0.00

<b>SECTION D - FORECASTED CASH NEEDS</b>					
13. Federal	Total for 1 <sup>st</sup> Year	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	3 <sup>rd</sup> Quarter	4 <sup>th</sup> Quarter
	\$ 0.00	\$	\$	\$	\$
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

<b>SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT</b>				
(a) Grant Program	FUTURE FUNDING PERIODS (years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

<b>SECTION F - OTHER BUDGET INFORMATION</b>	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

## INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering, and maintaining the data needed, and completing and reviewing the collection of information. Send comment regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories 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 grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

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

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

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

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

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

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

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

### Section B Budget Categories

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

**Line 6a-i** - Show the totals of Lines 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 6. 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

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

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

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

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

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

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

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

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

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

**Section D. Forecasted Cash Needs**

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

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

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

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

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

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

## BUDGET DETAIL

I.	<u>Personnel</u>		
	0.5 FTE Community Research Worker @ \$10.00/hour	\$ 6,400.00	
	0.2 FTE Project Coordinator @ \$12.00/hour		2,900.00
	0.2 FTE Grant administration @ \$7.00/hour	<u>2,500.00</u>	
			11,800.00
II.	<u>Fringe Benefits at 17%</u>		
	0.5 FTE Community Research Worker	\$1,088.00	
	0.2 FTE Project Coordinator	493.00	
	0.2 FTE Grant administration	<u>425.00</u>	
			2,006.00
III.	<u>Travel</u>		
	Local Travel @ \$0.26/mile		\$ 1,480.00
IV.	<u>Equipment</u>		\$ 2,223.00
	Audio Visual and Projector Rental		
	Typewriter/PC		
V.	<u>Supplies</u>		
	Paper		\$ 1,500.00
	Pencils/Pens	200.00	
	Folders	<u>500.00</u>	
			\$ 2,200.00
VI.	<u>Other</u>		\$ 2,142.00
	Printing		
	Postage		
	Telephone		
VII.	<u>Contractual</u>		\$ 3,149.00
	XYZ Engineering Company		
Total			<u>\$25,000.00</u>

Sample

**Appendix B**

**40 CFR 30.27 "ALLOWABLE COSTS"**

[Code of Federal Regulations][Title 40, Volume 1, Part 1 to 49]

[Revised as of July 1, 2000]

From the U.S. Government Printing Office via GPO Access

[CITE: 40CFR30.27] [Page 311]

TITLE 40--PROTECTION OF ENVIRONMENT

CHAPTER I--ENVIRONMENTAL PROTECTION AGENCY

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

Subpart C--Post-Award Requirements

Sec. 30.27 Allowable costs.

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

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

## ***Appendix C***                      ***GUIDANCE ON LOBBYING RESTRICTIONS***

The purpose of this guidance is to remind nonprofit organizations, universities, and other non-government recipients of EPA grants<sup>1</sup> that, with very limited exceptions, you may not use Federal grant funds or your cost-sharing funds to conduct lobbying activities. The restrictions on lobbying are explained in Office of Management and Budget (OMB) Circular No. A-21, "Cost Principles for Educational Institutions," 61 Fed. Reg. 20880 (May 8, 1996),<sup>2</sup> and OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations; 'Lobbying' Revision," 49 Fed. Reg. 18260 (April 27, 1984). As a recipient of EPA funds, you must be aware of and comply with these restrictions.<sup>3</sup>

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

### **Unallowable Lobbying Activities**

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

- (1) Contributions, endorsements, publicity or similar activities intended to influence Federal, State or local elections, referenda, initiatives or similar processes.
  
- (2) Direct and indirect financial or administrative support of political parties, campaigns, political action committees, or other organizations created to influence elections. Recipients may help collect and interpret information. These efforts must be for educational purposes only, however, and cannot involve political party activity or steps to influence an election.

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

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

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



**Appendix C**

**GUIDANCE ON LOBBYING RESTRICTIONS**

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

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

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

**Exceptions**

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

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

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<sup>4</sup> Circular A-122 addresses public information service costs that do not relate to lobbying. Attachment B to the Circular, at paragraph 36, makes allowable, with prior approval of the Federal agency, costs associated with pamphlets, news releases and other forms of information services if their purpose is: to inform or instruct individuals, groups or the general public; to interest individuals or groups in participating in a service program of the recipient; or to disseminate the results of sponsored and non-sponsored activities.

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

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

**Indirect Cost Rate**

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

**Enforcement**

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

**Appendix D**

**ENVIRONMENTAL RESULTS UNDER ASSISTANCE AGREEMENTS**

<p><b>1</b> Link to EPA Strategic Plan</p>	<p><b>2</b> Resources/ Input</p>	<p><b>3</b> Activities (and targets, if any)</p>	<p><b>4</b> Stated Outputs (with targets)</p>	<p><b>5</b> Anticipated Outcomes (with targets)  a. Long-term b. Interim c. Short-term</p>	<p><b>6</b> Baseline Was baseline measure established?</p>

**Appendix E**

**KEY CONTACT FORM**

**Authorized Representative:** Original awards and amendments will be sent to this individual for review and acceptance, unless other wise indicated.

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

**Payee:** Individual authorized to accept payments

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

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

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

**Principal Investigator:** Individual responsible for the technical completion of the proposed work.

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_

## **Appendix F Checklist for Determining Eligibility for CERCLA and Multi-Media Funding**

Your project may be considered under both CERCLA and multi-media funding if you can answer “Yes” to **ALL** of the following questions. Each Region has the discretion to fund your project using either of the funding sources (CERCLA or multi-media) if it is determined that your project can fit under both programs.

Please answer “Yes” or “No” to the following questions:

1. My project is a research project (See Section III, C, 1, a for the definition of “research”).  
Yes  No
  
2. My project either (1) involves training on research techniques OR (2) does not carry out any training activities at all.  
Yes  No
  
3. My project relates to “hazardous substances” as that term is defined by CERCLA 101(14).  
Yes  No
  
4. My project does NOT relate to contamination from petroleum products in accordance with the definition of hazardous substances found at CERCLA 101(14).  
Yes  No
  
5. My project either (1) does NOT include conferences OR (2) includes conferences but only for the purpose of presenting research results or to gather research data.  
Yes  No
  
6. My project meets the CERCLA research requirements AND involves two or more qualified statutes listed under Section III, C, 1, b.  
Yes  No

**Appendix G**

**QUALITY ASSURANCE PROJECT PLAN CHECKLIST**

The following types of information are typically gathered by grantees. Check Yes or No for each of the items provided below as it applies to your specific grant proposal:

1. Grantee will collect groundwater, soil, sediment, surface water, air, biota or fauna samples for chemical chemical or biological analysis. Yes  No
2. Grantee will use existing computer databases containing analytical data or personal information previously collected. Yes  No
3. Grantee will use existing historical research pertaining to this project or proposal. Yes  No
4. Grantee will implement deed searches for current property or site. Yes  No
5. Grantee will conduct medical records search for population covered in grant. Yes  No
6. Grantee will compile meteorological data to determine weather trends or air mixing trends. Yes  No
7. Grantee will use existing statistical studies or will conduct these studies as part of the grant. Yes  No
8. Grantee will create a new database based on the information gathered. Yes  No
9. Grantee will use this information for litigation purposes. Yes  No
10. Your project will use this information to make recommendations on environmental decisions Yes  No

If Yes has been entered for any of the items listed above, the grantee MUST submit a Quality Assurance Project Plan in accordance with EPA Requirements for Quality Assurance Project Plans, EPA QA/R-5 (March 2001) document to meet the EPA’s grant conditions. This document can be accessed at [www.epa.gov/quality](http://www.epa.gov/quality). (The grantee must select the “guidance” topic located to the left of the web page).

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