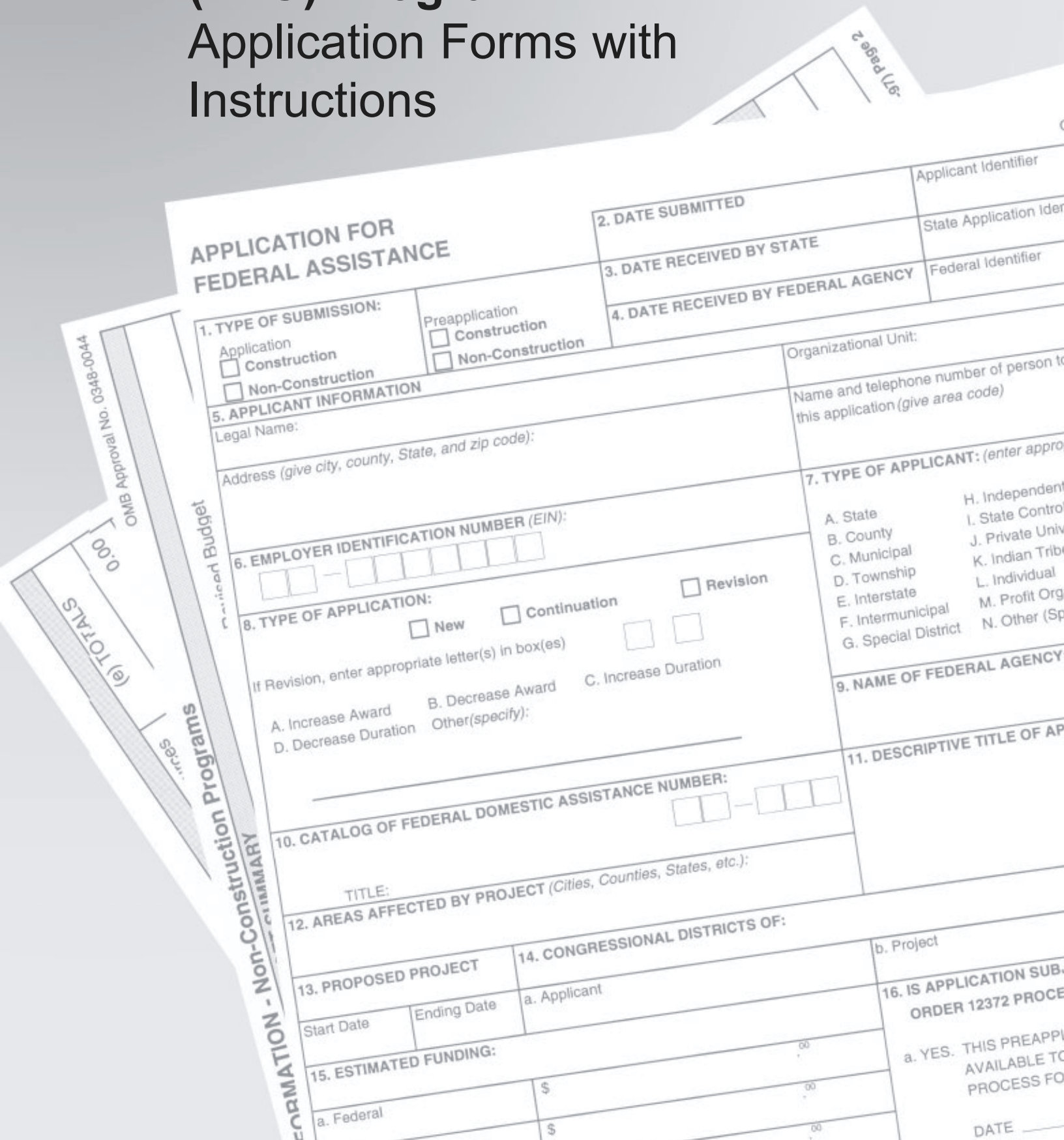
United States
Environmental Protection
Agency

Technical Assistance Grant (TAG) Program:

Application Forms with Instructions



Office of Emergency and
Remedial Response
(5204G)

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www.epa.gov/superfund/tools/tag

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Introduction

A Technical Assistance Grant (TAG) helps your community participate in decisionmaking at eligible Superfund sites. TAG funds are available to pay for independent technical advisors to help you understand information, plans, and documents about the cleanup of the Superfund site affecting you and a range of related issues, including redevelop and reuse, public health concerns, and relocation. A portion of TAG funds also can be used to publish newsletters, obtain relevant supplies and equipment, or hire a grant administrator.

This booklet provides everything you need to apply for a TAG for your group. This application package has been updated to be consistent with the new rules for the TAG program that took effect in October 2000.

The package provides simple, clear, step-by-step directions for preparing your application and completing all the forms required and includes samples to show you what to do in each section. The package also includes a complete set of blank forms, so you can fill in the necessary information for your group.

TAG Application: Initial Steps

Your group should take four important steps before you begin to fill out the Superfund Technical Assistance Grant (TAG) application forms contained in this booklet:

Step 1 -- *Contact your EPA Project Officer or Regional TAG Coordinator.*

You should work closely with him or her throughout the process of applying for a TAG to get answers for any questions that may arise. See page 55 for contact information.

Step 2 -- *Make certain that your group is eligible to receive a TAG.*

You should have already received two EPA fact sheets to help you. They are "Technical Assistance Grants (TAG): Program Fact Sheet" and "Technical Assistance Grants (TAG): Applying for a TAG." The "Applying for a TAG" fact sheet contains a number of questions about your group that should be particularly helpful.

Step 3 -- *Find out if your state government must review your TAG application.*

Some states require you to send them a copy of your TAG application for review so your Governor can stay informed of all of the grants awarded within the state. State requirements regarding this "inter-governmental review" vary. Ask your Regional TAG Coordinator (see page 55) whether your state requires intergovernmental review. If so, ask the TAG Coordinator who to contact in your state to find out the procedures to follow. You also can get this information at: ***www.whitehouse.gov/omb/grants/spoc.html***.

IMPORTANT NOTE: EPA cannot process your application package without evidence that you have submitted the application to the state reviewers, if required in your state. States have 60 days to complete the intergovernmental review process.

Step 4 -- *Notify your EPA regional office that you plan to apply for a TAG.*

Instructions for preparing your **Letter of Intent** and a helpful Sample are shown on pages 2 and 3.

How To Use This Booklet

To simplify your work, this booklet contains step-by-step instructions for filling out each of the required forms. A sample, using an imaginary group called the Woodtown Landfill Coalition, is included to show how each completed form should look (shown in bold type in each section). Forms included are:

1. A multi-page "Project Narrative Statement," which includes the "budget" and "scope of work"/"work plan" specified in the new TAG rules plus information about your group and how you will manage a TAG.
2. Standard Form (SF) 424, "Application for Federal Assistance" (1 page).
3. SF 424A, "Budget Information - Non-Construction Programs" (2 pages).
4. SF 424B, "Assurances - Non-Construction Programs" (2 pages).
5. EPA Form 5700-49, "Certification Regarding Debarment, Suspension, and Other Responsibilities Matters" (1 page).
6. EPA Form 4700-4, "Preaward Compliance Review Report for Applicants Requesting Federal Financial Assistance" (1 page).
7. "Certification Regarding Lobbying" (1 page).

You can find blank copies of the all of the forms beginning on page 39. Before filling out any of them, it may be useful to photocopy the blanks and use the copies to create a draft application package. When you are comfortable with all your entries, you can transfer the information to the blank forms for submission to EPA.

Completing the Letter of Intent

NOTE: Applicable sections of 40 CFR Part 35, Subpart M, the regulations for the Technical Assistance Grant Program, are cited as needed throughout this section.

Your group must send a LETTER OF INTENT to your EPA regional office stating that you intend to file a TAG application [see 40 CFR 35.4105, 4106, AND 4110].

Your Letter of Intent should include the following information:

- Name of group;
- Contact person with address and daytime telephone number; and
- Name of the site for which you are seeking a TAG.

A sample Letter of Intent for an imaginary group is on the next page and shows what to say in your letter.

To find the address of your EPA regional office, see page 55.

Woodtown Landfill Coalition
Main Street
Woodtown, CT 06898
(860) 555-1234

September 16, 2001

TAG Project Officer
Superfund Management
EPA Region 1 (HBS)
One Congress St.
Boston, MA 02114

Dear Sir/Madam:

We intend to apply for a Technical Assistance Grant. The Woodtown Landfill Coalition is composed of the Woodtown Citizens Task Force and the Smithtown Outing Club. We plan to use any awarded grant funds to obtain assistance in interpreting technical information generated during the Superfund cleanup process at the Woodtown Landfill site in Litchfield County, Connecticut. Please send an application and other relevant materials to me at the address listed above. The group hopes to file its application in January 2002.

Sincerely,

Pat Jones, Executive Director
Woodtown Landfill Coalition

SAMPLE

Completing the Project Narrative Statement

NOTE: Applicable sections of 40 CFR Part 35, Subpart M, the regulations for the Technical Assistance Grant Program, are cited as needed throughout this section.

The Project Narrative Statement consists of a budget and a work plan, or scope of work [40 CFR 35.4011 through 35.4055]. It is an essential part of the TAG application. In the Statement, you also describe your group and how you will responsibly manage funds provided through the TAG.

The form for the Project Narrative Statement follows a question and answer format that is, for the most part, self-explanatory. To show you the type of information EPA is looking for, a sample Statement has been prepared for an imaginary group called the Woodtown Landfill Coalition.

The sample begins on the next page, and the answers for the imaginary group are shown in bold type. Refer to it as often as needed as you prepare your group's Project Narrative Statement.

Section 1. GROUP QUALIFICATIONS -- The information in this section tells EPA about your group and its eligibility for a TAG .

A.1. and 2. Support from Other Groups -- *Qestions 1 and 2 in this section help EPA determine whether your group has members or support from organizations that are not eligible to receive TAGs. If you do not have a complete list of PRPs for your site, contact the Remedial Project Manager (RPM) or Community Involvement Coordinator (CIC) for the site.* Answer "Yes" or "No" to each question by placing a "X" in the appropriate box.

A.3. and 4. Group Background -- *Questions 3 and 4 in this section provide background on the size of your group and how it was formed, in order to help EPA determine if your group meets the requirements to be a TAG recipient.* Answer "Yes" or "No" to each question by placing a "X" in the appropriate box, and provide a detailed explanation for any "Yes" answers.

Project Narrative Statement

Section 1. Group Qualifications

A. Group Eligibility

1. The first five items in this section concern your group's relationship, if any, with those who have been identified as potentially responsible parties (PRPs) at the site. If you do not have a complete list of PRPs for your site, contact the Remedial Project Manager (RPM) or Community Involvement Coordinator (CIC) for the site. *Provide a detailed explanation for any "Yes" answers.*

Yes	No	
☐	X	Are any members of your group potentially responsible parties (PRPs)?
☐	X	Was your group established by or does it represent a PRP?
☐	X	Does anyone in your group have financial involvement in a PRP (other than as an employee or contractor?)Is your group presently sustained by a PRP?
☐	X	Does your group presently receive money or services from a PRP?

2. ☐ X Was your group established, or is it sustained, by an "ineligible entity" [defined in 40 CFR 35.4105] (check all that apply):

   ____ A PRP ?

   ____ A national organization?

   ____ An academic institution?

   ____ A political subdivision?

3. How many members are in your group? ***105***

4. X ☐ Is your group incorporated (or planning to incorporate) as a non-profit organization for the specific purpose of representing affected individuals at the site?

   OR

   X ☐ Was your group previously incorporated for another purpose?

   X ☐ If your group was previously incorporated for another purpose, does it include all the individuals and groups who joined in applying for the TAG?

Explain how your group was formed and the history of your group's involvement at the site. If your group developed out of a coalition of other groups, also include the names of these groups and why they joined together?

The Woodtown Landfill Coalition is composed of members from two groups–the Woodtown Citizen Task Force of Woodtown, CT, and the Smithtown Outing Club of Smithtown, CT. The main concern of the Woodtown Citizen Task Force, formed in 1995, is the health effects resulting from contamination at the site. The Smithtown Outing Club, founded in 1965, organizes a variety of outdoor trips around Litchfield County. The Club's main concern is the effects of contamination from the Woodtown Landfill site on the surrounding environment. Since both groups require technical assistance, they have chosen to form an incorporated coalition for the purpose of this program.

SAMPLE

Section 1–GROUP QUALIFICATIONS (continued)

B.1. Administrative and Management Capabilities -- *As a TAG applicant, your group must demonstrate its capability to adequately and responsibly manage a grant.* In answer #1, you must demonstrate that your group has established, or has plans to establish reliable procedures for managing a TAG.

***NOTE: Although the last sentence of the Sample anwer refers to "attached bylaws," no bylaws for the imaginary Woodtown Landfill Coalition have been included.* BE SURE TO ATTACH YOUR GROUP'S BYLAWS TO YOUR TAG APPLICATION.**

B.2. Resources for Project Completion -- *Describe the resources available to your group and include plans your group has for providing "in-kind" goods and services or money that will be contributed towards its matching share.*

Your matching share can include the following "in-kind" services and supplies, as long as you document them in your file.

Volunteered services, such as:

- A bookkeeper's work keeping your group's financial records and preparing required financial reports.
- A lawyer's aid in drafting a contract for your technical advisor.
- Your project manager's oversight of contracts.
- A group member's efforts to produce a group newsletter.
- The time spent by group representatives (such as board members) attending site related meetings.

Donated supplies, such as:

- Use of equipment (such as a computer or copier) and office space.
- Office supplies (such as paper and pencils).
- Photocopying, printing, and postage.
- Telephone calls.
- Meeting space.
- Other costs in your TAG application that are approved by EPA.

"In kind" contributions must be included in your approved budget. The value of equipment, such as a calculator or computer donated to the project, is based on fair-market value for purchase or rental of the item. However, only that portion of the property's use that you can directly attribute to the TAG project counts as an in-kind contribution. The value of donated office space or space for meetings must not exceed the fair rental value of comparable space in a privately-owned building in your community. If donated space is used for purposes other than the TAG project, only the portion associated with the TAG project counts as an in-kind contribution.

The value of services donated to the project is based on the price you would pay for similar work in your organization or your geographical area.

Your records should show how you calculated the value of all "in-kind" contributions included in your budget.

Section 1. Group Qualifications (continued)

B. Responsibility Requirements

1. Administrative and Management Capabilities

In the space below, please describe the organizational structure of your group and the roles and responsibilities of members, particularly members who will be responsible for financial management of the grant and directing the activities of the contractor.

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

2. Resources for Project Completion

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

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

SAMPLE

Section 1–GROUP QUALIFICATIONS (continued)

B.3. Performance Record -- *Describe other projects and contracts your group has managed, including whether they were completed successfully.*

If your group has no past experience in completing previous projects and contracts, EPA will evaluate your application based on the description, budget, and schedule you provide in Section 2 of the application.

NOTE: In the sample on the next page, the imaginary Woodtown Landfill Coalition provides their "Technical Advisor Work Plan" (Attachment A) and "Proposed Schedule and Costs for a Technical Advisor" (Attachment B) for EPA's use in evaluating its ability to manage the project, since they have no past performance details.

B.4. Accounting and Auditing Procedures -- *Describe how your group plans to keep records and the accounting procedures it will use to manage TAG funds. Identify the member of your group who will maintain your financial records.*

Section 1. Group Qualifications (continued)

B. Responsibility Requirements (continued)

3. Performance Record

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

Although neither of the founding groups (Woodtown Citizen Task Force and Smithtown Outing Club) nor the new Coalition previously have received federal funds, we believe the group can satisfactorily complete the proposed TAG project. Both groups have successfully organized and carried out fund-raising and community events that entailed organizing and budgeting activities. The "Technical Advisor Work Plan" (Attachment 1) included in this application describes in detail our proposed plan for use of a technical advisor's services.

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

4. Accounting and Auditing Procedures

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

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

A member of the Woodtown Landfill Coalition, originally from the Smithtown Outing Club, is a certified public accountant and has volunteered to assist in the financial oversight of grant funds. He will advise the group on completing financial reports required by EPA and the state.

SAMPLE

Section 1–GROUP QUALIFICATIONS (continued)

B.5. Incorporation -- *If your group is informed that it has been chosen to receive a TAG, you must affirm that your group has filed the necessary papers for incorporation with the state.*

Remember, **you must submit documentation to EPA (a letter from your state) that your group has been officially incorporated by the state by the time you make your first request for payment.**

For additional information, see the "Technical Assistance Grants (TAG): Incorporation and Tax-Exempt Status" fact sheet.

B.6. Certifications -- *You must sign the three important statements listed below to comply with federal regulations [40 CFR 35.4125].*

- Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49)
- "Preaward Compliance Review Report for Applicants Requesting Federal Financial Assistance" (Form 4700-4)
- Certification Regarding Lobbying

See pages 30-37 for sample and instructions for completing these certifications.

Section 1. Group Qualifications (continued)

B. Responsibility Requirements (continued)

5. Incorporation

Is your group incorporated specifically for the purpose of addressing problems at this site? (Answer "yes" or "no") ***yes***

If not, what steps is your group taking to incorporate for grant-related purposes?

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

6. Certifications

Attach copies of the completed "Certification Regarding Debarment, Suspension, and Other Responsibility Matters" (EPA Form 5700-49), "Preaward Compliance Review Report for Applicants Requesting Federal Financial Assistance" (Form 4700-4), and "Certification Regarding Lobbying" to this Project Narrative Statement.

SAMPLE

Section 1–GROUP QUALIFICATIONS (continued)

C.1. Number of Members of Your Group Affected by the Site

C.2. Health, Economic, and Environmental Effects -- *Describe how the health, economic condition, and environmental well-being of your group members and the citizens they represent are or have been affected by the contamination at the site.* (See Sample on the next page.)

C.3. Consolidation/Representation -- *Describe the number and diversity of community organizations and individuals represented by your group. Highlight the ways your group represents individuals affected by the site.* (See the Sample on the next page.)

Section 1. Group Qualifications (continued)

C. Group Issues and Objectives

1. How many members of your group are affected by the site? 105

2. Health, Economic, and Environmental Effects
Describe the ways in which group members and those they represent are affected by contamination at the site, including actual or potential health threats posed to and economic and environmental effects felt by them.

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

Members of the Smithtown Outing Club (one of the Coalition member-organizations) have, since the Club's inception in 1975, actively organized a variety of swimming, canoeing, fishing, and hiking trips within Connecticut. Many of the activities have taken place on or near the Rolling River. During the last decade, however, contamination from the Woodtown Landfill site has polluted the river. For this reason, many club members have feared swimming or canoeing in the river. Additionally, fishing in the river has been banned. The Smithtown Outing Club wants the site so that the landfill no longer pollutes the Rolling River.

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

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

The Woodtown Landfill Coalition membership represents most people affected by and concerned about the Woodtown Landfill site. For example, the members of the Woodtown Citizen Task Force include representatives of individual residents, community groups, and neighborhood businesses near the Woodtown Landfill site. The Smithtown Outing Club's members include people who regularly use Litchfield County's river and woods for recreation and are concerned about possible environmental damage from the Landfill. Over 75 percent of the Coalition's members live within a one-mile radius of the site. Coalition members believe that this organized effort will positively affect both members of the group and individuals in the community by providing a single contact from which community concerns can be addressed. The Coalition itself does not have a long history with the Woodtown Landfill site, but its composite organizations have been active in dealing with site issues since the site was listed on the NPL in 1995.

NOTE: Applicable sections of 40 CFR Part 35, Subpart M, the regulations for the Technical Assistance Grant Program, are cited as needed throughout this section.

Section 2. INFORMATION SHARING -- This section tells EPA about how your group will share technical and other information collected through the TAG project with the overall community [40 CFR 35.4135(3)].

A. *Describe the specific steps your group will take to share information collected in your TAG project with the rest of the community.* (See the Sample on the next page.)

Section 2 (Information Sharing)

1. How does your group intend to share information collected using grant funds with the larger community?

To keep community members informed of activities at the Woodtown Landfill site, the Woodtown Landfill Coalition will produce six issues of a newsletter containing information generated by the technical advisor. 320 copies of this newsletter will be printed for each issue. 200 of these copies will be distributed by hand to a list of community residents, and 120 copies will be mailed directly to Coalition members and the local press. In addition, all final documents produced by the technical advisor will be sent to EPA to be placed in the Information Repository established for the site at the Woodtown Public Library, which is accessible to everyone in the community. To encourage community involvement in activities related to the site, the Coalition will make all of its general monthly meetings open to the public. Additionally, before EPA's public meeting on the Feasibility Study, the Coalition will hold a community forum to brief the public on the technical advisor's findings. The coalition will advertise the meeting by putting an ad in the local newspaper.

SAMPLE

NOTE: Applicable sections of 40 CFR Part 35, Subpart M, the regulations for the Technical Assistance Grant Program, are cited as needed throughout this section.

Section 3. TECHNICAL ADVISOR WORK PLAN -- This section explains your group's plan for using TAG funds to work with your Technical Advisor to participate in each stage in the Superfund cleanup process at your site [40 CFR 35.4140(2), (3), and (4)].

To prepare for writing the Technical Advisor Work Plan, talk to the Remedial Project Manager (RPM) and Community Involvement Coordinator (CIC) for your site to find out when specific technical milestones are expected to be reached and the schedule for other important activities at the site. Review the TAG program fact sheets on "Applying for a TAG," "Managing Your TAG," and "Finding, Choosing, and Hiring a Technical Advisor."

NOTE: The Technical Advisor Work Plan and detailed Project Budget you prepare in this section should describe the work you plan to do, over a number of years if necessary, to participate in the Superfund process at your site.

A. Technical Advisor Work Plan -- *The information in this section explains how your group plans to use personnel for management/coordination and technical advice.*

For example, your Technical Advisor Work Plan must explain:

- The list of tasks you want your technical advisor to perform, such as review of the Remedial Investiga tion Report;
- The estimated amount of time your technical advisor will need to complete each of the specified tasks;
- The products (for example, memoranda, fact sheets, or reports) you expect the advisor to provide; and
- How your technical advisor will work with your board of directors and project manager.

In general, technical advisor activities that are eligible for funding under a TAG include:

- Reviewing and interpreting site-related documents;
- Participating in site visits to gain a better understanding of site activities;
- Traveling to meetings and hearings directly related to the situation at the site;
- Meeting with your group to explain technical information;
- Helping your group communicate site-related concerns to EPA;
- Communicating technical information to the community; and
- Participating in health and safety training.

Since your Technical Advisor Work Plan may require more room than the form allows, you may provide the Work Plan as an attachment to the application. (See Sample Attachments 1 and 2 on the following pages for examples of how to format your Technical Advisor Work Plan and to display the schedule and anticipated costs of technical advisor activities. The formats shown are suggestions only. You may develop different formats, if you wish.)

Be sure to include a reference to the Attachments in the application.

Attachment 1
Statement of Work

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

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

Remedial Investigation (Estimate: 160 hours, including one trip)

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

Feasibility Study (Estimate: 300 hours, including one trip)

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

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

Remedial Design (Estimate: 100 hours)

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

Remedial Action (Estimate: 75 hours)

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

SAMPLE

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Attachment 2

PROPOSED SCHEDULE OF TASKS AND COSTS FOR TECHNICAL ADVISOR

	Review Schedule/Tasks	Review	Prepare Memo/ Report	Attend Meeting	# of Hours	Cost $/hour	Total Cost of Advisor	Total # of Hours
YEAR 1	**Remedial Investigation (RI)**							
	• Review work plan	X	X	X	30	$2,280		
	• Issue evaluation memo				25	$1,900		
	• Attend RI kickoff public meeting			X	8	$608		
	• Review various RI reports (e.g., risk assessment, QA/QC plan, sampling)	X	X	X	52	$3,952		
	• Review RI report and prepare RI evaluation report	X	X	X	45	$3,420	$12,160	160
	Feasibility Study (FS)							
	• Review health assessment and prepare report	X	X	X	85	$6,460		
	• Review draft FS and prepare FS evaluation	X	X	X	60	$4,560	$11,020	145
YEAR 2	**Feasibility Study (FS) Continued**							
	• Brief Coalition on FS and attend FS meetings			X	80	$6,080		
	• Review Coalition comments on FS	X	X		15	$1,140		
	• Review ROD and prepare summary memo	X	X	X	60	$4,560	$11,780	155
YEAR 3	**Remedial Design (RD)**							
	• Review pre-final and final design and prepare design evaluation memo	X	X	X	100	$7,600	$7,600	100
	Remedial Action (RA)							
	• Review pre-final and final inspection reports and prepare cleanup evaluation report	X	X	X	75	$5,700	$5,700	75
				Total Cost of Advisor			$48,260	635

Travel (site visits and attendance at Woodtown Coalition Meetings and Public Hearings)

• Mileage ($0.34 per mile)	$500	
• Lodging and Meals ($100 per diem)	$400	
Total Travel Costs		$900

Administrative Costs

• Telephone	$500	
• Postage	$200	
• Copying	$140	
Total Administrative Costs		$840

Total (federal share) $50,000

SAMPLE

Section 4. PROJECT BUDGET -- This section summarizes costs by type of activity and indicates whether these funds will come from your TAG (federal) or the group's matching contribution [40 CFR 35.4130].

A. Detailed Budget -- *In this section, describe all the costs involved in your TAG project.* (See Sample Attachment 3. The format shown is only a suggestion. You may develop a different format, if you wish.)

Attachment 3, on the next page, summarizes costs by type of activity and indicates whether these funds will come from your TAG (federal) or the group's matching contribution. Your detailed Project Budget should include everything you think will cost money throughout the life of the project, because adding items to the budget later requires written approval from EPA.

Attachment 3

Project Budget for Three-Year Budget Period

1. Federal Share:		**Cost**
• Labor (Technical Advisor, and may include Administrator) 635 hours at $76.00 per hour	$48,260	$48,260
• Travel	$900	$900
• Other Costs		
Telephone	$500	
Postage	$200	
Copying, FAX, Printing	$140	$840
Total		$50,000
2. Matching Share:		
• Incorporation		$240
• Newsletter (writing, editing, distribution)		$2,300
• Meeting Space ($50 per meeting, 6 meetings per year, or 50x6x3 years)		$900
• Accounting, bookkeeping (1 hour per week for 3 years at $10 per hour)		$1,560
• Meetings of the Board of Directors (5 members, 20 meetings, 3 hours each, $25 per hour per member)		$7,500
Total		$12,500
Total Project		**$62,500**

SAMPLE

Completing the Application For Federal Assistance (Standard Form 424)

Following are instructions for filling out each numbered item in Standard Form (SF) 424. This form is used to provide general information about your TAG group. It certifies that you have determined your state's intergovernmental review requirements and requires the signature of an authorized representative of your group.

1. **Type of Submission** -- *Check "non-construction"*

2. **Date Submitted** -- *Type in current date*
   Applicant Identifier -- *Leave blank*

3. **Date Received by State** -- *Leave blank*
   State Application Identifier -- *Leave blank*

4. **Date Received by Federal Agency** -- *Leave blank*
   Federal Identifier -- *Leave blank*

5. **Applicant Information** -- *Type in your group's name. Place "N/A" in the "Organizational Unit" box; it is not applicable to TAG applicants.*
   Type in your group's Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. ***If you do not have a DUNS number,*** *call the toll-free request line at 1-866-705-5711 to obtain one immediately at no cost. You also may request at no cost a DUNS number on the Internet at http://www.dnb.com. Processing of online requests takes about 30 days.*
   Type in your group's full address and the name and telephone number of the person who would be able to supply additional information if needed.

6. **Employer Identification Number (EIN)** -- *Type in your group's EIN.* ***If you do not have an EIN****, call the U.S. Internal Revenue Service number in the "Government Listings" of your local telephone directory. Ask for IRS Form SS-4 ("Application for Employer Identification Number"). Fill it out and follow directions in the "How to Apply" section on the Form to submit it by mail, by telephone, or by fax.*

7. **Type of Applicant** -- *Type "O. Not for Profit Organization" in the box.*

8. **Type of Application** -- *Check "New" or, if you already have a TAG, check "continuation."*

NOTE: Leave blocks 9 & 10 as is.

11. **Title of Project** -- *Type in the name of the Superfund site where the TAG will be used under "Technical assistance for."*

12. **Areas Affected by Project** -- *List the municipalities, towns, counties, and states adjacent to, encompassing, and affected by the site.*

13. **Proposed Project Start Date/End Date** -- *Ask your EPA Regional Office when funding is likely to be approved if you receive an award. Type in this date or the date you wish to begin receiving funds, whichever is later.*

14. **Congressional Districts** -- *In block "a.," type in the Congressional district number and state where the office of your incorporated group is located. In block "b.," type in the Congressional district number and state where the site is located. If you do not know the district numbers, ask your local library.*

15. **Estimated Funding** -- *Type in the amount of money your are asking EPA to provide (block "a"), the amount of "matching" funds you will provide (block "b"), and the total (block "g"). Copy these numbers from your Project Narrative Statement. The amount in block "a" must not be more than $50,000 and not more than 80% of the total in block "g".*

16. **Intergovernmental Review** -- *Check "a. Yes" and type in the date that your TAG application was made available to your state's intergovernmental review contact next to "Date." If there is no review process in your state, check the second box under "b. No."*

17. **Federal Debt** -- *Check either "Yes" or "No," and attach an explanation if "Yes."*

18. **Applicant Certification** -- *Type in the information requested in "a."-"c." Your group's project manager must sign and date ("d." and "e.") the application.*

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

2. DATE SUBMITTED December 28, 2001	Applicant Identifier	
3. DATE RECEIVED BY STATE	State Application Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier	

1. TYPE OF SUBMISSION:

Application: ☐ Construction ☒ Non-Construction

Pre-application: ☐ Construction ☐ Non-Construction

5. APPLICANT INFORMATION

Legal Name: Woodtown Landfill Coalition	**Organizational Unit:** Department: N/A
Organizational DUNS: XX-XXX-XXXX	Division:
Address: Street: Main Street	**Name and telephone number of person to be contacted on matters involving this application (give area code)** Prefix: Ms. First Name: Pat
City: Woodtown	Middle Name
County: Litchfield County	Last Name Jones
State: CT Zip Code 06898	Suffix:
Country: USA	Email: jones.pat@wlcoalition.org
6. EMPLOYER IDENTIFICATION NUMBER *(EIN)*: X X-X X X X X X X	Phone Number (give area code) 203-xxx-xxxx Fax Number (give area code) 203-xxx-xxxx

8. TYPE OF APPLICATION: ☐ New ☐ Continuation ☐ 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)

O. Not for Profit Organization

Other (specify)

9. NAME OF FEDERAL AGENCY: U.S. Environmental Protection Agency

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 66-806

TITLE (Name of Program): Superfund Technical Assistance Grant

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Technical Assistance at the Woodtown Landfill Site

12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.)*: Smithtown, Woodtown, Litchfield, CT

13. PROPOSED PROJECT

Start Date: 11/1/01 Ending Date: 11/1/04

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant 6 (CT) b. Project 6 (CT)

15. ESTIMATED FUNDING:

a. Federal	$ 50,000	.00
b. Applicant	$ 12,500	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. TOTAL	$ 62,500	.00

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

a. Yes. ☒ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE: 9/1/01

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

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes" attach an explanation. ☒ No

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

a. Authorized Representative

Prefix Ms.	First Name Pat	Middle Name
Last Name Jones		Suffix
b. Title Executive Director		c. Telephone Number (give area code) 203-xxx-xxxx
d. Signature of Authorized Representative *Pat Jones*		e. Date Signed December 28, 2001

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Authorized for Local Reproduction

Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

Completing Standard Form 424A–Budget Information

Section A—Budget Summary

1.a. Grant Program, Function, or Activity -- *Type in the name of the Superfund site.*

1.b. Catalog of Federal Domestic Assistance Number -- *Leave this block as is.*

NOTE: Leave all other blocks in Row 1 blank. Also leave blocks "a" and "b" in Rows 2-5 as they apprear.

2.c-5.g -- *Type in "See Detailed Budget in Project Narrative Statement, Section 2.B." across columns as shown on the Sample.*
(Note: Budget information is requested in Project Narrative Statement.)

Section B—Budget Categories

6.a-7.k -- *Type in "See Detailed Budget in Project Narrative Statement, Section 2 .B." across columns as shown on the Sample.*

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Technical Assistance Grant at: Woodtown Landfill Site	66.806	$	$	$	$	$
2.		See detailed budget in Project Narrative Statement Section 2.B.				
3.						
4.						
5. Totals		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	See detailed budget in Project Narrative Statement Section 2.B.		
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges *(sum of 6a-6h)*					
j. Indirect Charges					
k. TOTALS *(sum of 6i and 6j)*	$	$	$	$	$
7. Program Income	$	$	$	$	$

SAMPLE

Section C—Non-Federal Resources

8.a. Grant Program -- *Type in the name of the Superfund site.*

8.b.-8e. and 9-12 -- *Type in "See Detailed Budget in Project Narrative Statement, Section 2.B." across columns as shown on the Sample.*

Section D—Forecasted Cash Needs

13. Federal -- *In the column labeled "Total for 1st Year", type in the* ***total*** *amount of money your are asking EPA to provide for your project, as shown in the Sample on the next page. (Get this amount from your Statement of Work or block 15.a. of the SF 424 "Application for Federal Assistance" that you have already filled out.) Then, type in the portion of the estimated total that you expect to need for each stated time period. The sum of the four quarterly amounts should be equal to the total amount shown. (Don't spend a lot of time on this section—a rough estimate is fine.)*

14. Non-Federal -- *In the column labeled "Total for 1st Year", type in the* ***total*** *amount of "matching" funds you will provide for your project, as shown in the Sample on the next page. (Get this amount from your Statement of Work or block 15.b. of the SF 424 "Application for Federal Assistance" that you have already filled out.) Then, type in the portion of the estimated total that you expect to need for each stated time period. The sum of the four quarterly amounts should be equal to the total amount shown.*

15. Totals
Type in the total amount for each column of Rows 13 and 14, as shown in the Sample on the next page.

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

16.-20. *-- Leave blank, as shown on the Sample on the next page.*

Section F—Other Budget Information

21. and 22. -- *Type "N/A" in each block.*

23. Remarks -- *Leave this block blank.*

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program Technical Assistance Grant at: Woodtown Landfill Site	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$ See detailed budget in Project Narrative Statement Section 2.B.			
9.				
10.				
11.				
12. TOTAL *(sum of lines 8-11)*	$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 50,000	$ 10,000	$ 17,500	$ 12,500	$ 10,000
14. Non-Federal	12,500	2,500	4,375	3,125	2,500
15. TOTAL *(sum of lines 13 and 14)*	$ 62,500	$ 12,500	$ 21,875	$ 15,625	$ 12,500

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. TOTAL *(sum of lines 16-19)*	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

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

Completing Standard Form 424B–Assurances

This form contains the regulations, policies, guidelines, and requirements which your group must obey if you receive a TAG. Read it carefully. Then have your project manager or other authorized representative (the person who is signing your SF 424 "Application for Federal Assistance") sign it at the bottom, as shown in the Sample below and on the next page.

Be sure to submit the signed form with the rest of your application package.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

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

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

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

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

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

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

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

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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

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

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

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

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

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

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

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

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

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

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.

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

Pat Jones Signature of Authorized Certifying Official	Executive Director Title
Woodtown Landfill Coalition Applicant Organization	December 28, 2001 Date Submitted

SAMPLE

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

Your authorized representative MUST SIGN this form.

On the first blank line, TYPE in your group's name and the name and title of your group's authorized representative as they appear on your SF 424 "Application for Federal Assistance" in sections 5. and 18.a.

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

If you cannot sign this certification, place a "X" in the box at the bottom of the page and attach a statement explaining why you cannot.

United States Environmental Protection Agency
Washington, DC 20460

CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

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

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

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

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

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

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

Pat Jones, Executive Director
Typed Name & Title of Authorized Representative

Pat Jones
Signature of Authorized Representative

12/28/01
Date

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

EPA Form 5700-49 (11-88)

SAMPLE

Preaward Compliance Review Report

Following are instructions for filling out EPA Form 4700-4, Preaward Compliance Review Report for All Applicants Requesting Federal Financial Assistance. COMPLETE ALL SECTIONS of the form, have your authorized representative SIGN IT, and SUBMIT the form with your group's TAG application.

Recipients of federal financial assistance from the U.S. Environmental Protection Agency must comply with Title VI of the Civil Rights Acts of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, Section 504 of The Rehabilitation Act of 1973, The Age Discrimination Act of 1975, and Title IX of the Education Amendments of 1972. The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by these statutes.

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

IA. "Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance.

IB. "Recipient" means any entity, other than applicant, which will actually receive EPA assistance.

IC. The **EPA Project Number** can be obtained by contacting the Remedial Project Manager (RPM) or Community Involvement Coordinator (CIC) for the site.

II. Self-explanatory.

III. "Civil rights lawsuits" means any lawsuit or complaint alleging discrimination on the basis of race, color, national origin, sex, age, or handicap pending against the applicant and/or entity that benefits from the grant. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

IV. "Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or handicap. The review should be listed If any part of it covered the entity.

V. Self-explanatory.

VI. The word "community" refers to the area under the applicant's and/or recipient's jurisdiction. The "community" might be a university or laboratory campus, or a community within a large city. If there is significant disparity between minority and nonminority populations to receive service, which is not satisfactorily explained, the Regional office may require a map that indicates the minority and nonminority population served by this project, program or activity.

VII. "Population Characteristics" information is required so that reviewers may determine if a disparity in the proposed provision of services will exist in the event the application is approved for funding. Give population of recipient's jurisdiction, broken out by categories as specified. In the event the applicant cannot provide the requested information because the funds will be distributed over a wide demographic area, which is yet to be determined, an explanation may be provided on a separate sheet. For example, a state applying for a capitalization grant under the State Revolving Fund program may not know which cities and counties will apply for, and receive, SRF loans.

VIII. Self-explanatory.

IX. "Jurisdiction" means the geographical area over which applicant has the authority to provide service.

X. Self-explanatory.

Washington, DC 20460

Preaward Compliance Review Report for All Applicants Requesting Federal Financial Assistance

FORM Approved
OMB No. 2090-0014
Expires 4-30-99

Note: Read instructions before completing form.

I. A. Applicant (Name, City, State)	B. Recipient (Name, City, State)	C. EPA Project No.
Woodtown Landfill Coalition Main Street Woodtown, CT	"NA"	CTDXXXXXXXX

II. Brief description of proposed project, program or activity.

To obtain assistance in interpreting technical information generated during the Superfund cleanup process at the Woodtown Landfill site in Litchfield County, Connecticut.

III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? If yes, list those complaints and the disposition of each complaint.	☐ Yes ☒ No
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal agency during the two years prior to this application for activities which would receive EPA assistance? If yes, list those compliance reviews and status of each review.	☐ Yes ☒ No
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If yes, list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.	☐ Yes ☒ No

VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why.

"NA"

VII. Population Characteristics	Number of People
1. A. Population of Entire Service Area	320
B. Minority Population of Entire Service Area	30
2. A. Population Currently Being Served	320
B. Minority Population Currently Being Served	30
3. A. Population to be Served by Project, Program or Activity	320
B. Minority Population to be Served by Project, Program or Activity	30
4. A. Population to Remain Without Service	0
B. Minority Population to Remain Without Service	0

VII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and usable by handicapped persons? If no, explain how a regulatory exception (40 CFR 7.70) applies.	☐ Yes ☐ No "NA"

IX. Give the schedule for future projects, programs or activities (or of future plans), by which services will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why.

Our plans call for producing six issues of a newsletter containing information generated by the technical advisor in order to keep the community members informed of Coalition activities at the site, new issues that arise, and proposals for addressing them throughout the cleanup.

X. I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.

A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
Pat Jones	Executive Director	December 28, 2001

For the U.S. Environmental Protection Agency

☐ Approved ☐ Disapproved	Authorized EPA Official	Date

EPA Form 4700-4 (Rev. 1/90) Previous editions are obsolete.

Certification Regarding Lobbying

Your authorized representatives MUST SIGN AND SUBMIT this certification with your group's TAG application.

Contact the Remedial Project Manager (RPM) or Community Involvement Coordinator (CIC) for the site to obtain the EPA Project Number.

EPA United States Environmental Protection Agency

CTDXXXXXXXX

EPA Project Control Number

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

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

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

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

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

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

Pat Jones, Executive Director

Typed Name & Title of Authorized Representative

Pat Jones

Signature of Authorized Representative

December 28, 2001

Date

SAMPLE