



# 2001 Grant Guidance

## Environmental Justice Through Pollution Prevention



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## INTRODUCTION

This guidance outlines the purpose, goals, and general procedures for application and award of Environmental Justice Through Pollution Prevention (EJP2) grants for **Fiscal Year (FY) 2001**. EPA anticipates that approximately \$750,000 in grant funds will be available to eligible organizations. Applications must be mailed to EPA's contractor, Eastern Research Group Inc., (ERG) (please see address listed in Section III. B), and **received no later than 5 p.m. e.s.t. Friday, April 20, 2001**.

### I. SCOPE AND PURPOSE OF EJP2 GRANT PROGRAM

Since 1995, the EJP2 grant program has funded projects which have sought to encourage innovative, non-regulatory pollution prevention techniques in environmental justice communities. Over the last five years of the program, eligible grant recipients have experimented with a variety of different approaches. With experience, we are better able to assess the types of projects and techniques that might be replicated in other affected communities, and the types of projects that should be deferred. We anticipate having less money than in previous years, and applicants can make better use of their time and energy if all eligibility requirements are followed. This grant program is designed specifically to fund only those projects that directly benefit minority and low-income communities by applying pollution prevention approaches. EPA will not award EJP2 funds to proposals for cleanup and disposal activities, trash collection, recycling, and/or pest removal, and/or other initiatives that are aimed at avoiding the generation of pollution.

This year, EPA will limit eligibility to projects involving:

- **Helping Small Businesses and Institutions Prevent Pollution in Communities.** Projects in this category should involve forging voluntary partnership programs, demonstration projects, and/or general technical assistance and training.
- **Fostering Partnerships Between Industrial Facilities and Communities.** Projects in this category should involve helping community residents forge relationships with large industrial facilities in their neighborhoods in an attempt to work with the facilities to make environmental improvements and address community concerns.
- **Demonstrating Agricultural Pollution Prevention.** Projects in this category should involve providing tools to farm workers on best management practices that attempt to reduce pesticide use and worker exposure.
- **Improving Tribal Environments.** Projects in this category should involve developing strategies that address environmental concerns and promote the development of tribal environmental legislation essential for pollution prevention.

This year, EPA *will not* fund projects primarily involving:

- **Educating Communities about Pollution Prevention.** Projects in this category provided outreach materials and technical assistance on pollution prevention approaches through the medium of television broadcasts, brochures, and newsletters to affected communities.
- **Promoting Efficient Resource Use Within Communities.** Projects in this category promoted energy efficiency, advocated alternatives modes of transportation, and launched the development of urban gardens.

- **Fostering Youth Education and Involvement.** Projects in this category involved carrying out educational programs and developing curricula to help youth better comprehend environmental issues and develop their capacity to address environmental problems in their communities.

Projects from previous years that fit these various categories are described in more detail in EPA's publication on Promoting Environmental Justice through Pollution Prevention (EPA742K-00-001) and in EPA's Assessment of the Environmental Justice through Pollution Prevention grants program, available in Adobe Acrobat Reader .pdf format on EPA's EJP2 Internet Home Page at: <http://www.epa.gov/opptintr/ejp2>. Copies of the Assessment are also available by calling 703 841-0483.

#### **A. Background on EJP2 Grant Program**

In 1990, Congress enacted the Pollution Prevention Act, which established a national policy to prevent or reduce pollution at the source whenever possible. EPA has increasingly devoted its attention to actively ensuring fair environmental protection for all communities while trying to empower those most often disenfranchised from the decision-making process, namely the poor and people of color. In its 1992 report, *Environmental Equity: Reducing Risk for All Communities*, EPA concluded that people of color and low-income communities are subject to higher levels of toxic pollutant exposure than the general population. Recognizing the disproportionate environmental impacts that many minority and low-income communities face, EPA's Office of Pollution Prevention and Toxics (OPPT) is devising ways to aid these communities solve environmental problems through pollution prevention, which is any practice that reduces or eliminates a pollutant prior to recycling, treatment or disposal. EJP2 grants are meant to aid in the approach toward environmental protection by playing a central role in reducing environmental risks while promoting public involvement and increasing economic benefits.

#### **B. How Does EPA Define Environmental Justice**

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 a 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 programs and policies.

#### **C. How is Pollution Prevention Defined Under the Environmental Justice Through Pollution Prevention Grants Program?**

EPA has defined pollution prevention as source reduction, which is any practice that reduces or eliminates a pollutant prior to recycling, treatment, or disposal. EPA further defines pollution prevention as the use of other practices that reduce or eliminate the creation of pollutants through:

- Increased efficiency in the use of raw materials, energy, water, or other resources, and
- Protection of natural resources by conservation.

To help the public better understand pollution prevention, EPA has established a hierarchy of environmental management practices. In order of preference, these practices include:

- **Pollution Prevention and Source Reduction**
- Recycling
- Treatment

- Safe Disposal

This grant program is focused on applying pollution prevention and source reduction techniques to bring about better environmental protection.

**D. How is Pollution Prevention Different from Other EPA Programs?**

EPA grant programs have traditionally focused on preventing pollution through reactive means, usually by way of treatment, cleanup, recycling, and/or disposal. EJP2 grants, however, use pollution prevention methods as a preferable approach toward reducing pollution at the source, thereby lessening the need to treat, recycle, and dispose of contaminants. By using proven pollution prevention approaches contaminants have less of a chance to enter the environment and potentially cause adverse environmental health and safety side-effects.

**E. What If My Project is Not Pollution Prevention?**

EPA, along with other federal agencies, may have other grant funds available to address your particular needs. For example, EPA's Environmental Justice Small Grants Program, managed by the Office of Environmental Justice, provides grant funding for projects that address environmental justice problems through ways other than pollution prevention. A list of all EPA grant programs can be found in the Catalog of Federal Domestic Assistance. You may also find copies at some 1,300 Federal Deposit Libraries around the nation (usually located at major colleges and/or universities), or at National Agricultural Libraries (usually located in rural or agricultural areas). You may also find the Catalog of Federal Domestic Assistance on the Internet at: <http://www.cfda.gov>. To purchase copies please call the General Services Administration at 202 708-5126.

**F. What is the Impact of This Program on Small Entities?**

The EJP2 grant program is targeted at nonprofit and community organizations, and therefore benefits small entities. We have informed potential grantees by **Federal Register** publication, updates on the EPA web site, and by maintaining a mailing list of interested parties. We have worked to minimize any potential adverse impacts by clarifying the applicability of the guidance, by encouraging applications that stand little chance of funding, and by providing information on successful projects and approaches.

**G. Submission to Congress and the Comptroller General**

The Congressional Review Act, 5 U.S.C. §801 et seq., as added by the Small Business Regulatory Enforcement Fairness Act of 1996, generally provides that before a rule may take effect, the agency promulgating the rule must submit a rule report, which includes a copy of the rule, to each House of the Congress and to the Comptroller General of the United States. EPA will submit a report containing this rule and other required information to the U.S. Senate, the U.S. House of Representatives, and the Comptroller General of the United States prior to publication of the rule in the **Federal Register**. A Major rule cannot take effect until 60 days after it is published in the **Federal Register**. This action is not a "major rule" as defined by 5 U.S.C. §804(2).

**II. ELIGIBLE APPLICANTS AND ACTIVITIES**

**A. Who May Submit Applications, and May an Applicant Submit More Than One Proposal?**

Any incorporated non-profit community organization, local government, or federally recognized tribal government may submit an application upon publication of this solicitation. "Non-profit" organization means

any corporation, trust, association, cooperative, or the organization that:

- (1) Is operated primarily for scientific, education, service, charitable, or similar purposes in the public interest;
- (2) Is not organized primarily for profit; and
- (3) Uses its net proceeds to maintain, improve, and/or expand its operations.

While state and local governments and academic institutions are eligible to receive grants, preference will be given to non-profit, community-based/grassroots organizations and state and federally recognized tribal organizations. Organizations must be incorporated by **Friday, April 20, 2001** in order to be eligible to receive EJP2 grant funds. **For-profit organizations, federal agencies, and individuals are not eligible for this grant.** Organizations excluded from applying directly, as well as those inexperienced in grant-writing, are encouraged to develop partnerships and prepare joint proposals with organizations that are eligible for funding. No applicant can receive two grants for the same project at one time. EPA will consider only one proposal per project. Applicants may submit more than one application as long as the applications are for separate and distinct projects.

#### **B. What Types of Projects Are Eligible for Funding?**

In past years EPA has encouraged a variety of innovative approaches to pollution prevention through the EJP2 program. The program recently conducted an assessment of previous EJP2 grants. The Assessment includes details on previous grant projects, and factors that contributed to project success. Based on the Assessment, and the fact that the EJP2 program has less money to award in FY 2001, EPA is narrowing the types of projects that will be funded under this program. In past years, this program has been extremely competitive. In the most recent competition, EPA was able to fund fewer than one out of every six applications.

This year, the EJP2 program *will only* fund projects in four categories:

(Please refer to Section I for further description)

- Helping Small Businesses Prevent Pollution in Communities;
- Fostering Partnerships Between Industrial Facilities and Communities;
- Demonstrating Agricultural Pollution Prevention;
- Improving Tribal Environments.

More detail on the types of projects that have been funded is available in the Assessment, and in the EPA Brochure entitled Promoting Environmental Justice Through Pollution Prevention. In the past, EPA has funded grants involving:

(Please refer to Section I for further description)

- Fostering Youth Education and Involvement
- Educating Communities about Pollution Prevention; and
- Promoting Efficient Resource Use within Communities.

**EPA strongly encourages cooperative efforts between communities, business, industry, and government to address common pollution prevention goals.** In addition to narrowing the focus, EPA is encouraging applicants to use already existing information and material rather than use scarce resources to research and develop new initiatives to satisfy a project's goal. **EPA urges all applicants to consult the**

**Assessment of EPA's EJP2 Grant Program.** The EJP2 Assessment is available by calling: 703 841-0483, or one can obtain a downloadable version in Adobe Acrobat Reader .pdf format via EPA's EJP2 Internet Home Page at: <http://www.epa.gov/opptintr/ejp2>.

**C. How Much Money May Be Requested? Are Matching Funds Required?**

Organizations seeking funds from the EJP2 grant program can request up to \$75,000 for projects. EPA no longer requires cost sharing or matching for this grant program from institutions of higher education, hospitals, and other non-profit organizations, unless otherwise required by statute, regulation, Executive Order or official Agency policy. Applicants that are governmental entities, such as state and local governments are subject to a 25 percent matching or cost-sharing requirement. Matching or cost-sharing requirements may be satisfied through either cash or in-kind contributions.

**D. Are There Any Restriction on the Use of Federal Funds?**

Yes. EPA grant funds can only be used for the purposes set forth in the grant agreement. Grant funds from this program cannot be used for matching funds for other federal grants, construction, personal gifts (e.g., t-shirts, buttons, and hats), purchasing furniture, litigation, 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 entities. For more information, refer to 40 CFR 30.27, "Allowable Costs."

**III. APPLICATION REQUIREMENTS**

**A. What is Required for Applications?**

Proposals from eligible organizations **must** include the following information listed below. To save paper, please provide double-sided copies whenever possible. **Please include one original application packet (with original signatures where required) and one copy of the application packet. Proposals that do not include all materials listed below will not be considered for funding.** To obtain copies of the EJP2 grant program guidance and application package or to obtain more information regarding the EJP2 grant program, please call 703 841-0483. A complete electronic copy of the EJP2 grant program guidance and application package is also available via the Internet at EPA's EJP2 Internet Home Page at: <http://www.epa.gov/opptintr/ejp2>.

**Grant Application:**

The total number of pages per application may not exceed 25 double-sided pages. Pages must be letter size (8½" x 11"), with normal type size (11 CPI), and have at least 1" margins.

- (1) One page summary cover sheet **must** include:
  - a) name of applicant;
  - b) address of applicant;
  - c) phone number & e-mail address for contact;
  - d) project name;
  - e) dollar amount requested from EPA;
  - f) identification of what category the project will address (e.g. helping small businesses prevent pollution in communities, fostering partnerships between industrial facilities and communities, demonstrating agricultural pollution prevention, or improving tribal environments);
  - g) brief description of the environmental justice issue(s) to be addressed by the project;
  - h) brief description and explanation of the parties contributing to the concern (e.g. small

business, an industrial/agricultural facility or farm);

- i) brief description of what type of pollution prevention approach will be utilized to address the environmental justice issues in the project proposal; and
- j) brief description of the purpose of the grant proposal.

- (2) Narrative (no more than 5 pages in length). The narrative should include a:
  - a) description of the affected communities;
  - b) identification of what category the project will address (e.g. helping small businesses prevent pollution in communities, fostering partnerships between industrial facilities and communities, demonstrating agricultural pollution prevention, or improving tribal environments);
  - c) description of the environmental justice issue(s) to be addressed by the project;
  - d) description of the pollution prevention approach that will be utilized in the project;
  - e) description of the involvement of community and partner organizations in developing and implementing the project;
  - f) description of the anticipated environmental results and other benefits for the community;
  - g) description of the approach used to evaluate the project.
- (3) Letters of commitment, memoranda of understanding, or other documents that highlight significant involvement of other partners in your grant application.
- (4) Resumes or biographical information regarding the lead and other key personnel in the grant application.
- (5) Any additional information (e.g., history of the organization(s) and success stories).
- (6) Key contacts information sheet.
- (7) Application for Federal Assistance, SF 424, the official form required for all federal grants that requests basic information about the grantee and the proposed project.
- (8) The Federal Standard Form SF 424A, which provides information on budget and match.
- (9) Detailed, itemized budget.
- (10) Certification of Non-Construction, SF 424B
- (11) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Form.

Please note: your application may be subject to your state's intergovernmental review process, or the consultation requirements of Section 204, Demonstration Cities and Metropolitan Development Act. Check with your state's Single Point of Contact to determine your requirements. Applicants from American Samoa, Guam, Puerto Rico, and the U.S. Virgin Islands should also check with their Single Point of Contact. If you do not know who your Single Point of Contact is, please call your EPA regional contact (see Appendix C) or EPA Headquarters Grants Policy, Information and Training Branch at 202 564-5325. ***Federally recognized tribal governments are not required to comply with this procedure.***

**B. When and Where Must Applications be Submitted?**

**Applicants must submit one signed original grant application and one copy by mail, by person,**

or by courier on or before 5 p.m. e.s.t., April 20, 2001 to the following address:

EJP2 Grant Program  
c/o ERG  
2200 Wilson Boulevard, Suite 400  
Arlington VA, 22201

To request additional copies of the grant application, or for any questions please call 703 841-0483.

#### **IV. EVALUATION OF PROPOSALS**

All proposals must meet three requirements in order to be considered for funding by this program:

- (1) Would the project benefit a minority and/or low-income community?
- (2) Would the project use a pollution prevention approach to address the environmental problems of the community?
- (3) Does the project address one or more of the priority funding areas identified for this program in Section II of this guidance?

Proposals will be evaluated and scored by the reviewers on the basis of the following four criteria:

- (1) Is the proposed approach likely to successfully address the community's environmental concerns?
- (2) Does the project seem cost-effective?
- (3) Does the project identify a method for measuring and documenting the project's environmental results and other benefits for the community, either quantitatively or qualitatively?
- (4) Were the affected community, business or other institutions, and other partners and potential participants effectively involved in the development of the proposal?

#### **V. PROCESS FOR AWARDING AND ISSUING GRANTS**

##### **A. How Will Applications be Reviewed?**

Each EPA Regional office will form a review panel that will review and evaluate all grant applications from communities within that Region. Applications will be screened to ensure that they meet eligibility requirements of this guidance. Postcards of acknowledgment confirming the receipt of a grant package application will be sent to all applicants by April 27, 2001. Official letters notifying grant applicants of the status of their application will be sent out by November 15, 2001.

##### **B. How Will Final Selections be Made?**

After individual projects are reviewed and ranked according to the criteria in Section V, EPA Regional offices will compare the best applications and make final selections. Additional factors that EPA may take into

account include geographic and socioeconomic balance, diverse nature of the projects, cost, and projects whose benefits can be sustained after the grant is completed.

The EJP2 grant program has historically been an extremely competitive process. In the most recent competition, EPA was able to fund fewer than one out of every six applications. If your project is not funded, you can refer to information regarding other EPA and federal grant opportunities listed in the Catalog of Federal Domestic Assistance.

Funding decisions for the EJP2 grant program's FY 2001 cycle will be publicly announced by October 31, 2001. Official letters informing all applicants of the status of their application will be sent out not later than November 15, 2001.

## **VI. EXPECTED TIME FRAME FOR REVIEWING AND AWARDING GRANTS**

<b>February 21, 2001</b>	FY 2001 EJP2 Application Guidance is available and published in the Federal Register.
<b>February 21, 2001 to April 20, 2001</b>	Eligible grant recipients develop and complete their applications.
<b>April 20, 2001</b>	Applications must be postmarked by this date and mailed to: <b>EJP2 Grant Program</b> <b>c/o ERG</b> <b>2200 Wilson Boulevard,</b> <b>Suite 400, Arlington VA, 22201</b>
<b>April 27, 2001</b>	Postcards will be sent to confirm receipt of grant applications.
<b>April 27, 2001 to October 30, 2001</b>	EPA regional program officials review and evaluate applications and select grant finalists. Applicants will be contacted by the Region if their application is being considered for funding. Additional information may be required from the finalists, as indicated in Unit IV. EPA regional grant offices process grants and make awards.
<b>October 31, 2001</b>	EPA expects to release the national announcement of the FY 2001 Environmental Justice Through Pollution Prevention Grant Recipients
<b>November 2, 2001</b>	All projects must begin on or after this date.
<b>November 15, 2001</b>	Official letters will be sent notifying all applicants of the status of their application.
<b>October 1, 2003</b>	All projects must conclude, and funds must be expended by this date.

## VII. PROJECT PERIOD AND FINAL REPORTS

Activities must be completed and funds spent within the time frame specified in the grant award, usually two years. An additional third year may be allowed if a grant extension is extended. Project start dates will depend upon the grant award date (most projects begin in August or September). The recipient organization is responsible for the successful completion of the project. The recipient project manager is subject to approval by the EPA project officer, but EPA may not designate a particular person as the project manager.

All recipients must submit final reports for EPA approval within **sixty (60)** days of the end of the project period. Specific report requirements (e.g., Final Technical Report and Financial Status Report) will be described in the award agreement. EPA will collect, review, and disseminate grantees' final reports to serve as model programs.

## VIII. DEFINITIONS

**Affected Communities**-Individuals or groups of individuals who are subject to an actual or potential health, economic or environmental threat arising from or which arose from pollution sources or proposed polluting sources. Affected parties for example include individuals who live near pollution sources and whose health is or might be endangered or whose economic interest is directly threatened or harmed.

**Community Development Financial Institution (CDFI)**- An institution that meets the criteria specified in Section 103 of the Riegle Community Development and Regulatory Improvement Act of 1994.

**Environmental Justice**-The fair treatment of people of all races, cultures and incomes with respect to the development, implementation and enforcement of environmental laws, regulation programs and polices. Fair treatment means that no racial ethnic or socioeconomic group should bear a disproportionate share of the negative environmental consequences resulting from the operation of industrial, municipal, and commercial enterprises, and from the execution of federal, state, local, and tribal programs and polices.

**Low-Income Community**- A population that is classified by the U.S. Bureau of Census as having an aggregated mean income (for a family of four) of \$17,029 per year, adjusted for by the cost-of-living index of the locality, and whose income level is at the lowest 25 percent of the total population of a defined area or jurisdiction.

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

**People of Color Community**-A population that is classified by the U.S. Bureau of the Census as African American, Hispanic American, Asian, and Pacific American, American Indian Eskimo, Aleut and other nonwhite persons, whose compositions at least 25 percent of the total population of a defined area or jurisdiction

**Pollution Prevention**-The reduction or elimination of pollutants through source reduction, increased efficiency in the use of raw material energy, water, or other resources; or the protection of natural resources by conservation. Pollution prevention measures that reduce the amount of pollutants released into the environment prior to recycling, treatment, and disposal.

**Small Business**-As defined by the Small Business Administration's (SBA) Small Business Size Regulations in 13 CFR, Part 121. Because SBA's definition of small business is very complex, and varies by industry, Section XI lists information that can help determine if the business you intend to work with qualifies as a small business.

**Tribe**-All federally recognized American Indian tribes (including Alaska native villages), pueblos, and rancheros. The term tribe refers only to federally-recognized indigenous peoples. Other indigenous peoples are able to apply for grants as long as they are incorporated and otherwise meet eligibility requirements as a nonprofit organization.

## **IX. EPA REGIONAL CONTACTS**

**Region 1** Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont  
Primary Contact: Ronnie Harrington Phone: 617 918-1703  
USEPA Region 1 (SAA) E-mail: harrington.veronica@epa.gov  
1 Congress Street - Suite 100  
Boston, MA 02114-2023  
Secondary Contact: Pat O'Leary Phone: 617 918-1978  
E-mail: oleary.pat@epa.gov

**Region 2** New Jersey, New York, Puerto Rico, U.S. Virgin Islands  
Primary Contact: Marcia Seidner Phone: 212 637-3584  
USEPA Region 2 (SPMMB) E-mail: seidner.marcia@epa.gov  
290 Broadway, 25th Floor  
New York, NY 10007  
Secondary Contact: Deborah Freeman Phone: 212 637-3730  
E-mail: freeman.deborah@epa.gov

**Region 3** Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia  
Primary Contact: Jeff Burke Phone: 215 814-2761  
USEPA Region 3 (3EI00) E-mail: burke.jeff@epa.gov  
1650 Arch Street  
Philadelphia, PA 19103-2029

**Region 4** Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina,  
South Carolina, Tennessee  
Primary Contact: Dan Ahern Phone: 404 562-9028  
USEPA Region 4 E-mail: ahern.dan@epa.gov  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-8960  
Secondary Contact: Gloria Love Phone: 404 562-9672  
E-mail: love.gloria@epa.gov

**Region 5** Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin  
Primary Contact: Phil Kaplan Phone: 312 353-4669  
USEPA Region 5 (DW-8J) E-mail: kaplan.phil@epa.gov  
77 West Jackson Boulevard  
Chicago, IL 60604-3590

**Region 6** Arkansas, Louisiana, New Mexico, Oklahoma, Texas  
Primary Contact: Eli Martinez Phone: 214 665-2119  
USEPA Region 6 (6EN-XP) E-mail: martinez.eli@epa.gov  
1445 Ross Avenue, Suite 1200  
Dallas, Texas 75202-2733

**Region 7** Iowa, Kansas, Missouri, Nebraska  
Primary Contact: Althea Moses Phone: 913 551-7649  
USEPA Region 7 (RAECO) E-mail: moses.althea@epa.gov  
901 North Fifth Street  
Kansas City, KS 66101

**Region 8** Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming  
Primary Contact: Linda Walters Phone: 303 312-6385  
USEPA Region 8 (8P-P3T) E-mail: walters.linda@epa.gov  
999 18th Street, Suite 500  
Denver, CO 80202-2466  
Secondary Contact: Jean Belille Phone: 303 312-6556  
E-mail: belille.jean@epa.gov

**Region 9** Arizona, California, Hawaii, Nevada, American Samoa, Guam  
Primary Contact: Eileen Sheehan Phone: 415 744-2190  
USEPA Region 9 (WST-1-1) E-mail: sheehan.eileen@epa.gov  
75 Hawthorne Street  
San Francisco, CA 94105  
Secondary Contact: John Katz Phone: 415 744-2150  
E-mail: katz.john@epa.gov

**Region 10** Alaska, Idaho, Oregon, Washington  
Primary Contact: Lucita Valiere Phone: 206 553-2964  
USEPA Region 10 (01-085) E-mail: valiere.lucita@epa.gov  
1200 Sixth Avenue  
Seattle, WA 98101

## **X. INFORMATION REGARDING DEFINITION OF SMALL BUSINESS**

Small business regulations are contained in Title 13 CFR Part 121, and the Federal Acquisition Regulation 48 CFR Part 19.

For the small business definition of the applicable size standard and for size standard questions, you may contact the SBA located in one of the Area Offices of the office of Government Contracting or in Washington, D.C. A downloadable file with a table of the size standards is also available on "SBA ONLINE" under both the financial assistance and government contracting sections. You may reach SBA ONLINE via your computer at 800 697-4636; or in the Washington Metropolitan Area at 202 401-9600. The SBA ONLINE home page is on the Internet at: <http://www.sbaonline.sba.gov>.

Each of the six area offices of the SBA's Office of Government Contracting, and two offices in the Washington, D.C. area, have an employee designated as a Size Specialist. Their addresses and telephone numbers are as follows:

1. Office of Government Contracting  
New York Area Office  
U.S. Small Business Administration  
26 Federal Plaza, Suite 3108  
New York, N.Y. 10278  
Phone: 212 264-7756
2. Office of Government Contracting  
Philadelphia Area Office  
U.S. Small Business Administration  
475 Allendale Road, Suite 201  
King of Prussia, PA 19406  
Phone: 610 962-3723
3. Office of Government Contracting  
Atlanta Area Office  
U.S. Small Business Administration  
1720 Peachtree Road, NW  
Suite 318 North  
Atlanta, GA 30309  
Phone: 404 347-7587
4. Office of Government Contracting  
Chicago Area Office  
U.S. Small Business Administration  
300 South Riverside Plaza, Suite 1975  
Chicago, IL 60606-6617  
Phone: 312 353-7674
5. Office of Government Contracting  
Dallas Area Office  
U.S. Small Business Administration  
8625 King George Drive, Building C  
Dallas, TX 75235-3391  
Phone: 214 767-7639
6. Office of Government Contracting  
San Francisco Area Office  
U.S. Small Business Administration  
71 Stevenson Street, 20<sup>th</sup> Floor  
San Francisco, CA 94105-2939  
Phone: 415 975-4853
7. Office of Size Standards  
U.S. Small Business Administration  
409 3<sup>rd</sup> Street, SW  
Washington, D.C. 20416  
Phone: 202 205-6618
8. Office of Industrial Assistance  
U.S. Small Business Administration  
409 3<sup>rd</sup> Street, SW  
Washington, D.C. 20416  
Phone: 202 205-6475

## APPENDIX A: CHECKLIST OF APPLICATION MATERIALS

Please be sure to include all the items listed on the checklist in your application packet. Each item should be clearly identified and arranged in the following order. In order to help conserve paper, please provide double sided copies whenever possible.

- G A **1 page** summary cover sheet.
- G Narrative of the proposal not to exceed 5 pages.
- G Letters of commitment, memoranda of understanding, or other documents.
- G Resumes or biographical information regarding the lead investigator, and other key personnel in the grant application.
- G Any additional information deemed useful by the applicant.
- G Key Contacts Information Sheet
- G Application of Federal Assistance, SF 42 4A.
- G The Federal Standard Form SF 424A.
- G Detailed, itemized budget.
- G Certification of Non-Construction, SF 424B
- G Certification Regarding Debarment, Suspension, and Other Responsibility Matters.

The total number of pages per application may not exceed 25 double-sided pages.

Please include one original (with original signatures where appropriate) and one copy of the application packet.

**Grant application must be received by EPA at the following address not later than 5 p.m. e.s.t., April 20, 2001:**

EJP2 Grant Program  
c/o ERG  
2200 Wilson Boulevard, Suite 400  
Arlington, VA 22201

For questions concerning the grant program guidance, or for additional information please call 703 841-0483.

## **APPENDIX B: APPLICATION FORMS AND INSTRUCTIONS**

Appendix B contains the following forms and instructions necessary for submitting a grant application:

- Key Contacts Information Sheet.
- Application for Federal Assistance, SF 424.
- Federal Standard Form SF 424A.
- Instructions for Detailed, Itemized Budget.
- Certification of Non-Construction, SF 424B.
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters.

**KEY CONTACTS INFORMATION SHEET**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input type="text"/> <input type="text"/> - <input type="text"/>		<b>7. TYPE OF APPLICANT:</b> (enter appropriate letter in box) <input type="checkbox"/>	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other(specify): _____		A. State                      H. Independent School Dist. <input type="checkbox"/> B. County                    I. State Controlled Institution of Higher Learning C. Municipal                J. Private University D. Township                K. Indian Tribe E. Interstate                L. Individual F. Intermunicipal         M. Profit Organization G. Special District        N. Other (Specify) _____	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.): _____ TITLE:		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____  b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00		
		<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
		<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

**U.S. ENVIRONMENTAL PROTECTION AGENCY  
EJP2 GRANT PROGRAM  
CUSTOMIZED INSTRUCTIONS FOR THE SF 424**

This is a standard form used by applicants as a required factsheet for applications submitted for federal assistance. Certain states have established a review and comment procedure pursuant to Executive Order 12732 and have selected this program to be included in their process. The applicant will use this form to certify that the State has been given an opportunity to review this submission. It will be used by EPA to obtain applicant certification that states that have established a review and comment procedure in response to Executive Order 12732 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.    | For the purpose of the EJP2 grant program, all applicants are completing applications for nonconstruction programs only.  | 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.   |
| 2.    | Date application submitted to EPA (or state if applicable) & applicant's own control number (if applicable).  | 12.   | List only the largest political entities affected (e.g., state, counties, and cities).  |
| 3.    | State use only (if applicable).   | 13.   | All EJP2 grant projects must have a starting date on or after October 1, 1999, and a ending date no later than September 30, 2001.  |
| 4.    | If this application is to continue or revise an existing award, enter present federal identifier number. If this application is for a new project, leave blank.   | 14.   | List the applicant's Congressional district and any district(s) affected by the program or project.   |
| 5.    | Legal name of the applicant, name of primary organizational unit that will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 15.   | Please refer to Section III of the EJP2 grant application package for information regarding cost sharing or matching requirements. Amount requested from the Federal government for the entire life of the grant should go into box (a). Cost-sharing or matching amount by the applicant should go into box (b). Please note that the cost-sharing or matching amount by the applicant should equal to the determined percentage of the total cost of the project (e.g., if the total cost of the project is \$100,000, and the mandated applicant cost-sharing or matching amount is 25 percent then the federal portion would equal \$75,000, and the applicant portion would equal \$25,000). The total (box (g)) should reflect the cost for the entire life of the program. |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 16.   | Applicant should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12732 to determine whether the application is subject to the State inter-government review process. A complete listing of SPOC's are attached in Appendix D of the grant guidance.  |
| 7.    | Enter the appropriate letter in the space provided. Please note that for-profit organizations, federal agencies, and individuals are not eligible for award under the EJP2 grant program.   | 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.  |
| 8.    | <p>Check appropriate box and enter appropriate letter(s) in the space(s) provided:</p> <p>--"New" means a new assistance award.</p> <p>--"Continuation" means an extension for an additional funding and budget period for a project with a projected completion date.</p> <p>--"Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</p> | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application).   |
| 9.    | Name of the federal agency from which assistance is being requested with this application: U.S. Environmental Protection Agency   |       |   |
| 10.   | The EJP2 grant program does not have a Catalog of Federal Domestic Assistance number. Please fill in "EJP2 grant program" for the title.  |       |   |

**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		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
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)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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**SECTION C - NON-FEDERAL RESOURCES**

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.		\$	\$	\$	\$
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	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

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

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

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:	22. Indirect Charges:
---------------------	-----------------------

23. Remarks:



**INSTRUCTIONS FOR CONSTRUCTING  
DETAILED BUDGET INFORMATION**

Please follow the format of the sample detailed budget below when constructing your detail budget information form. Whenever possible, include an explanation for specific budget item.

<b>I.</b>	<b><u>Personnel</u></b>	
	0.2 Full time equivalent (FTE) Executive Director at \$40,000 per year	\$ 8,000.00
	0.2 FTE Project Coordinator at \$12.00 per hour	4,600.00
	0.5 FTE Community Outreach Worker at \$10.00 per hour	<u>9,600.00</u>
		22,200.00
<b>II.</b>	<b><u>Fringe Benefits at 10 percent</u></b>	
	0.2 FTE Executive Director	\$ 800.00
	0.2 FTE Project Coordinator	460.00
	0.5 FTE Community Outreach Worker	<u>960.00</u>
		2,220.00
<b>III.</b>	<b><u>Travel</u></b>	
	Local travel at \$0.26 per mile: outreach coordinator travel to outreach communities	\$ 500.00
	2 conference travel: from Chicago, IL to Washington, DC at \$500 per person to present results of project at the end of project	<u>1,000.00</u>
		1,500.00
<b>IV.</b>	<b><u>Equipment (Rental)</u></b>	
	Audio visual and projector rental: for community outreach presentations	\$ 500.00
	Computer equipment	<u>500.00</u>
		1,000.00
<b>V.</b>	<b><u>Supplies</u></b>	
	Paper and office supplies	\$ 500.00
	Postage	500.00
	Printing, 1,000 copies of report	1,500.00
	Telephone	<u>500.00</u>
		3,000.00
<b>TOTAL:</b>		<b>\$ 29,920.00</b>

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of 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 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean 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 Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

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

United States Environmental Protection Agency  
Washington, DC 20460

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

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

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

(b) Have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

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

(d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

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

\_\_\_\_\_  
Typed Name and Title of Authorized Representative

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

\_\_\_\_\_  
Date

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

## **INSTRUCTIONS**

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

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

### **Where to Submit**

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

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

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

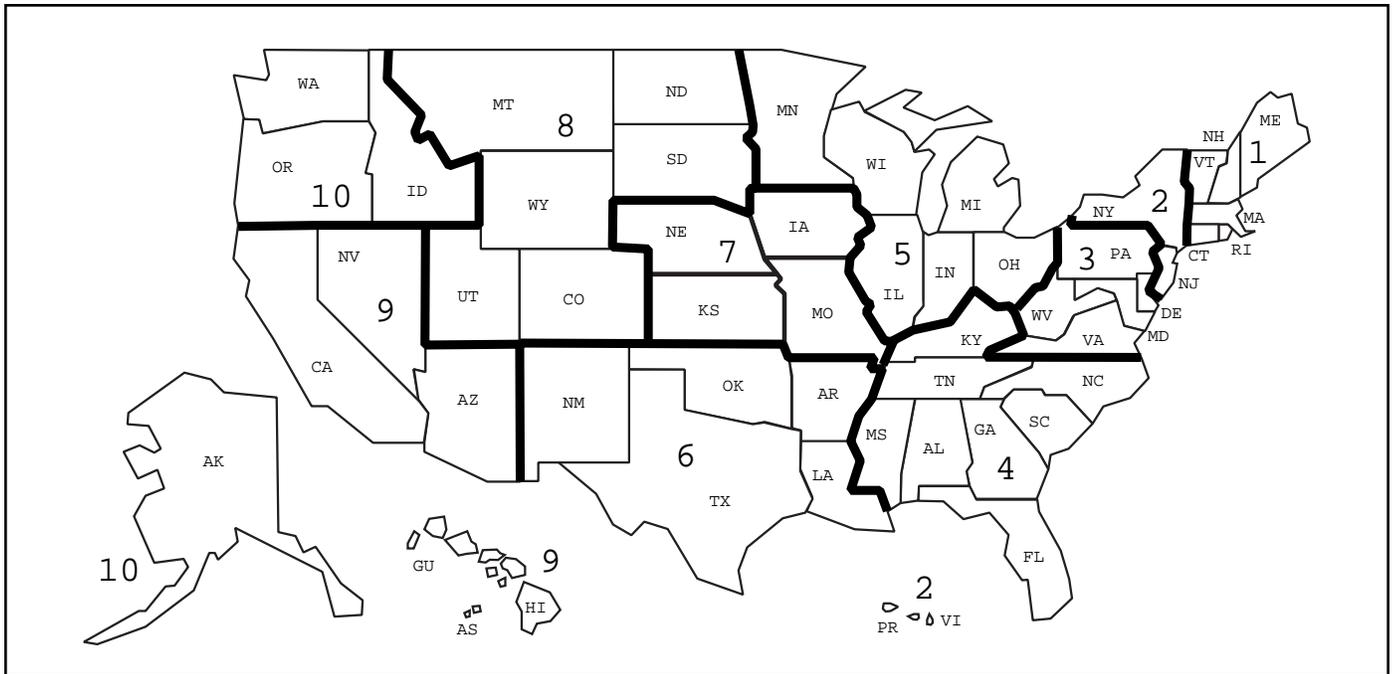
### **How To Obtain Forms:**

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

Additional copies and assistance may be requested by calling the Grants Administrative Division at 202 564-5315 or by writing to:

Compliance Branch  
Grants Administrative Division (PM-216F)  
U.S. Environmental Protection Agency  
401 M Street, SW  
Washington, DC 20460

# Appendix C: Map of EPA Regions



## EPA Regional Offices and State Breakdown

Alabama	4	Maine	1	Pennsylvania	3
Alaska	10	Maryland	3	Rhode Island	1
Arizona	9	Massachusetts	1	South Carolina	4
Arkansas	6	Michigan	5	South Dakota	8
California	9	Minnesota	5	Tennessee	4
Colorado	8	Mississippi	4	Texas	6
Connecticut	1	Missouri	7	Utah	8
Delaware	3	Montana	8	Vermont	1
District of Columbia	3	Nebraska	7	Virginia	3
Florida	4	Nevada	9	Washington	10
Georgia	4	New Hampshire	1	West Virginia	3
Hawaii	9	New Jersey	2	Wisconsin	5
Idaho	10	New Mexico	6	Wyoming	8
Illinois	5	New York	2	American Samoa	9
Indiana	5	North Carolina	4	Guam	9
Iowa	7	North Dakota	8	Puerto Rico	2
Kansas	7	Ohio	5	Virgin Islands	2
Kentucky	4	Oklahoma	6		
Louisiana	6	Oregon	10		

**Region 1** Connecticut  
Maine  
Massachusetts  
New Hampshire  
Rhode Island  
Vermont

**Region 2** New Jersey  
New York  
Puerto Rico  
Virgin Islands

**Region 3** Delaware  
District of Columbia  
Maryland  
Pennsylvania  
Virginia  
West Virginia

**Region 4** Alabama  
Florida  
Georgia  
Kentucky  
Mississippi  
North Carolina  
South Carolina  
Tennessee

**Region 5** Illinois  
Indiana  
Michigan  
Minnesota  
Ohio  
Wisconsin

**Region 6** Arizona  
Louisiana  
New Mexico  
Oklahoma  
Texas

**Region 7** Iowa  
Kansas  
Missouri  
Nebraska

**Region 8** Colorado  
Montana  
North Dakota  
South Dakota  
Utah  
Wyoming

**Region 9** Arizona  
California  
Hawaii  
Nevada  
American Samoa  
Guam

**Region 10** Alaska  
Idaho  
Oregon  
Washington

## APPENDIX D: STATE SINGLE POINTS OF CONTACT

Your application to an EPA program may be subject to your state's inter-governmental review process and/or consultation requirements under Section 204, Demonstration Cities and Metropolitan Development Act. Listed below are the Single Point-of-Contacts for the states and U.S. territories with a designated Single Point-of-Contact. Please check the list not see if such review is required in your state or territory. Those states and U.S. territories that are not listed do not have an established single point-of-contact. For further information regarding Single Points-of-Contact, please call EPA at (202) 260-9266. *Please also note that federally recognized tribal organizations are not required to comply with this procedure.*

### ARIZONA

Ms. Joni Saad  
Arizona State Clearinghouse  
3800 N. Central Avenue  
Fourteenth Floor  
Phoenix, AZ 85012  
Phone (602) 280-1315  
Fax (602) 280-8144

### ARKANSAS

Mr. Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 W. 7th Street, Room 412  
Little Rock, AR 72203  
Phone (501) 682-1074  
Fax (501) 682-5206

### CALIFORNIA

Grants Coordinator  
Office of Planning and Research  
1400 Tenth Street, Room 121  
Sacramento, CA 95814  
Phone (916) 323-7480  
Fax (916) 323-3018

### DELAWARE

Mrs. Francine Booth  
Federal Aid Coordinator  
State Single Point of Contact  
Executive Department, Office of the Budget  
Thomas Collins Building  
P.O. Box 1401  
Dover, DE 19903  
Phone (302) 739-3326  
Fax (302) 739-5661

### DISTRICT OF COLUMBIA

Mr. Charles E. Nichols  
State Single Point of Contact  
Office of Grants Management and Development  
717 14th Street, NW, Suite 500  
Washington, DC 20001  
Phone (202) 727-6554  
Fax (202) 727-1617

### FLORIDA

Florida State Clearinghouse  
Department of Community Affairs  
2740 Centerview Drive  
Tallahassee, FL 32399-2100  
Phone (904) 922-5438  
Fax (904) 487-2899

### GEORGIA

Mr. Tom Reid, III, Coordinator  
Georgia State Clearinghouse  
270 Washington Street, SW, Eighth Floor  
Atlanta, GA 30334  
Phone (404) 656-3855  
Fax (404) 656-3828

### ILLINOIS

Ms. Virginia Bova  
State Single Point of Contact  
Dept. of Commerce & Community Affairs  
James R. Thompson Center  
100 West Randolph, Suite 3-400  
Chicago, IL 60601  
Phone (312) 814-6028  
Fax (312) 814-1800

INDIANA

Ms. Frances E. Williams  
State Budget Agency  
212 State House  
Indianapolis, IN 46204  
Phone (317) 232-5619  
Fax (317) 233-3323

IOWA

Mr. Steven R. McCann  
Division for Community Progress  
Iowa Department of Economic Development  
200 East Grand Avenue  
Des Moines, IA 50309  
Phone (515) 242-4719  
Fax (515) 242-4809

KENTUCKY

Mr. Ronald W. Cook  
Office of the Governor  
Department of Local Government  
1024 Capital Center Drive  
Frankfort, KY 40601-8204  
Phone (502) 573-2382  
Fax (502) 573-2512

MAINE

Ms. Joyce Benson  
State Planning Office  
184 State Street  
State House Station #38  
Augusta, ME 04333  
Phone (207) 287-3261  
Fax (207) 287-6489

MARYLAND

Mr. William G. Carroll, Manager  
Plan and Project Review  
Maryland Office of Planning  
301 West Preston Street, Rm. 1104  
Baltimore, MD 21201-2365  
Phone (410) 225-4490  
Fax (410) 225-4480

MICHIGAN

Mr. Richard Pfaff  
Southeast Michigan Council of Governments

660 Plaza Drive, Suite 1900  
Detroit, MI 48226  
Phone (313) 961-4266  
Fax (313) 961-4869

MISSISSIPPI

Ms. Cathy Mallette, Clearinghouse Officer  
Department of Finance and Administration  
455 North Lamar Street  
Jackson, MS 39202-3087  
Phone (601) 359-6762  
Fax (601) 359-6764

MISSOURI

Ms. Lois Pohl  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 809  
Room 760, Tnunan Building  
Jefferson City, MO 65102  
Phone (314) 751-4834  
Fax (314) 751-7819

NEVADA

Department of Administration  
State Clearinghouse  
Capital Complex  
Carson City, NV 89710  
Phone (702) 687-4065  
Fax (702) 687-3983

NEW HAMPSHIRE

Mr. Jeffrey H. Taylor, Director  
New Hampshire Office of State Planning  
Attn: Intergovernmental Review Process  
2 1/2 Beacon Street  
Concord, NH 03301  
Phone (603) 271-2155  
Fax (603) 271-1728

NEW JERSEY

Mr. Andrew J. Jaskolka  
State Review Process  
Intergovernmental Review Unit  
Department of Community Affairs  
101 South Broad Street  
CN 800 (Room 813A)

Trenton, NJ 08625-0800  
Phone (609) 292-9025  
Fax (609) 633-2132

#### NEW MEXICO

Mr. Robert Peters  
State Budget Division  
Bataan Memorial Building, Room 190  
Santa Fe, NM 87503  
Phone (505) 827-3640

#### NEW YORK

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, NY 12224  
Phone (518) 474-1605  
FAX: (518) 486-5617

#### NORTH CAROLINA

Mrs. Chrys Baggett, Director  
North Carolina State Clearinghouse  
Office of the Secretary of Administration  
116 West Jones Street, Suite 5 106  
Raleigh, NC 27603-8003  
Phone (919) 733-7232  
Fax (919) 733-9571

#### NORTH DAKOTA

Mr. Jim Void  
North Dakota Single Point of Contact  
Office of Intergovernmental Assistance  
600 East Boulevard Avenue  
Bismarck, ND 58505-0170  
Phone (701) 224-2094  
Fax (701) 224-2308

#### OHIO

Ms. Linda Wise  
State Clearinghouse  
Office of Budget and Management  
30 East Broad Street, 34th Floor  
Columbus, OH 43266-0411  
Phone (614) 466-0698  
FAX: (614) 466-5400

#### RHODE ISLAND

Mr. Kevin Nelson, Review Coordinator  
Department of Administration  
Office of Strategic Planning  
One Capitol Hill, 4th Floor  
Providence, RI 02908-5870  
Phone (401) 277-2656  
Fax (401) 277-2083

#### SOUTH CAROLINA

Mr. Rodney Grizzle  
State Single Point of Contact  
Grant Services  
Office of the Governor  
1205 Pendleton St., Room. 331  
Columbia, SC 29201  
Phone (803) 734-0494  
Fax (803) 734-0356

#### TEXAS

Mr. Tom Adams, Director  
Intergovernmental Coordination  
Governor's Office  
P.O. Box 12428  
Austin, TX 78711  
Phone (512) 463-1771  
Fax (512) 936-2681

#### UTAH

Ms. Carolyn Wright  
Utah State Clearinghouse  
Office of Planning and Budget  
State Capitol, Room 116  
Salt Lake City, UT 84114  
Phone (801) 538-1535  
Fax (801) 538-1547

#### VERMONT

Ms. Jeanine Crosby  
State Single Point of Contact  
Pavilion Office Building  
109 State Street  
Montpelier, VT 05609  
Phone (802) 828-3326  
Fax (802) 828-3339

#### WEST VIRGINIA

Mr. Fred Cutlip, Director

Community Development Division  
West Virginia Development Office  
Building #6, Room 553  
Charleston, WV 25305  
Phone (304) 558-4010  
Fax (304) 558-3248

WISCONSIN  
Mr. Jeff Smith  
Federal/State Relations Office  
Wisconsin Department of Administration  
101 East Wilson St., 6th Floor  
P.O. Box 7868  
Madison, WI 53707  
Phone (608) 266-0267  
Fax (608) 267-6931

WYOMING  
Mr. Matthew Jones  
State Single Point of Contact  
Office of the Governor  
200 West 24th Street  
State Capitol, Room 124  
Cheyenne, WY 82002  
Phone (307) 777-7446  
Fax (307) 632-3909

GUAM  
Mr. Giov T. Sgambelluri, Director  
Bureau of Budget & Management Research  
Office of the Governor  
P.O. Box 2950  
Agana, Guam 96910  
Phone 011-671-472-2285  
Fax 011-671-472-2825

PUERTO RICO  
Ms. Norma Burgos, Chairwoman  
Mr. Jose E. Caro, Director  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 41119  
San Juan, Puerto Rico 00940-1119  
Phone (809) 727-4444 or (809) 723-6190  
Fax (809) 724-3270 or (809) 724-3103

MARIANA ISLANDS  
Ms. Jacoba T. Seman, Federal Programs  
Coordinator  
State Single Point of Contact  
Planning and Budget Office  
Office of the Governor  
Saipan, MP 96950  
Phone (670) 664-2289  
Fax (670) 664-2272

VIRGIN ISLANDS  
Ms. Linda Clark  
Office of Management & Budget  
#41 Norregade Emancipation  
Garden Station, Second Floor  
Saint Thomas, Virgin Islands 00802  
Phone (809) 774-0750  
Fax (809) 776-0069