AGENCY: U.S. Environmental Protection Agency
Office of Environmental Justice

TITLE: Environmental Justice Small Grants Program

ACTION: Request for Applications (RFA) Amendment

FUNDING NO: EPA-OECA-OEJ-13-01

CFDA: 66.604

DATE: October 18, 2012

SUMMARY: This notice is issued to amend the Environmental Justice Small Grants Program Request for Applications (RFA). Amendments include the listing of entities ineligible to receive an award under this RFA, language under the "Qualified Environmental Statutes" section as it relates to eligibility of proposed activities under this RFA and applicant eligibility language as it appears on the "One-Page Threshold Eligibility Form." Please note the amended language in bold. This amendment supersedes all previous versions.

The above amendments are found accordingly:

1. Pages 2 and Page 6 (Section III –Eligibility Information) is amended as follows:

From: "The following entities are INELIGIBLE to receive a grant. However, we encourage partnerships with these organizations for technical assistance: colleges and universities, hospitals, state governments and their entities, quasi-governmental entities (e.g., water districts, utilities), national organizations and their chapters, multi-state organizations, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply and organizations acting only as "fiscal agents"

To: "The following entities are INELIGIBLE to receive a grant. However, we encourage partnerships with these organizations for technical assistance: colleges and universities, hospitals, state **and local governments** and their entities, quasi-governmental entities (e.g., water districts, utilities), national organizations and their chapters, multi-state organizations, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply and organizations acting only as "fiscal agents"

2. Page 4 (C. Qualified Environmental Statutes, listing number 3) is amended as follows:

From: "*Solid Waste Disposal Act*, Section 8001(a): conduct and promote the coordination of research, investigations, experiments, training, demonstration projects, surveys, public education programs, and studies relating to solid waste (e.g., health and welfare effects of exposure to materials present in solid waste and methods to eliminate such effects)."

To: "*Solid Waste Disposal Act*, Section 8001(a): conduct and promote the coordination of research, investigations, experiments, training, demonstration projects, surveys, public education programs, and studies relating to solid waste (e.g., health and welfare effects of exposure to materials present in solid waste and methods to eliminate such effects). **Please note that proposals supporting brownfields work are not eligible for funding under this announcement."**

3. Appendix A: EJSG One-page Threshold Eligibility Form (Number 1, "Applicant Eligibility") is amended as follows:

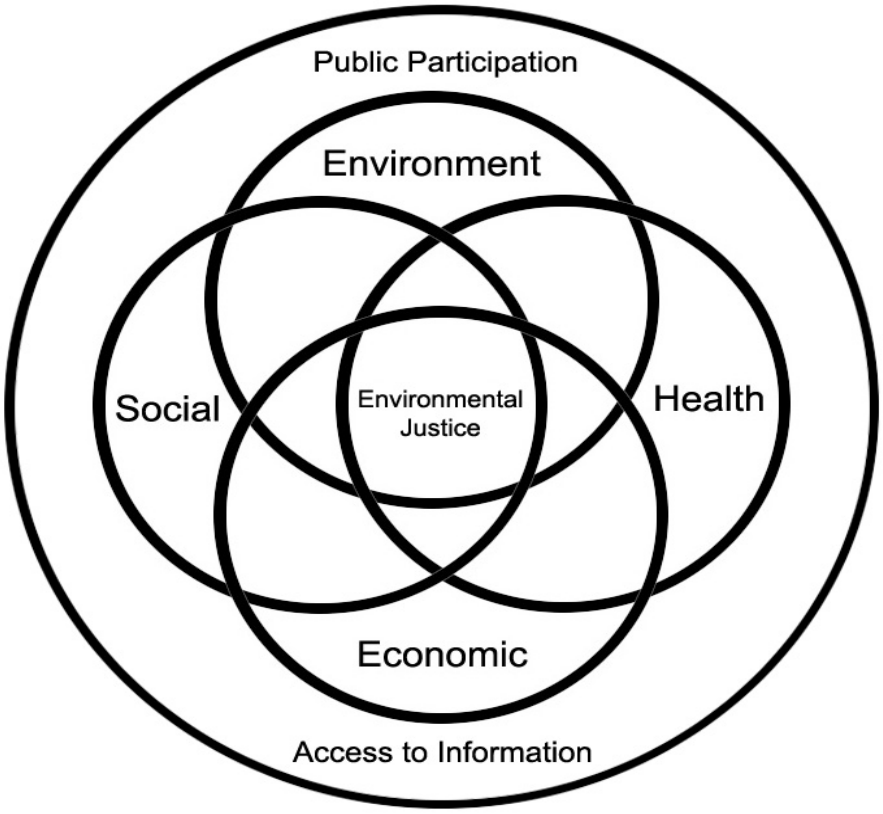
From: "Applicant Eligibility. Incorporated non-profit organizations including, but not limited to, environmental justice networks, faith based organizations and those affiliated with religious institutions"

To: "Applicant Eligibility. Incorporated non-profit organizations including, but not limited to, environmental justice networks, faith based organizations and those affiliated with religious institutions; **federally recognized tribal governments; or tribal organizations…"The following entities are INELIGIBLE to receive a grant. However, we encourage partnerships with these organizations for technical assistance: colleges and universities, hospitals, state and local governments and their entities, quasi-governmental entities (e.g., water districts, utilities), national organizations and their chapters, multi-state organizations, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply and organizations acting only as "fiscal agents"**

4. All other terms and conditions remain unchanged.

# ENVIRONMENTAL JUSTICE SMALL GRANTS PROGRAM

# APPLICATION GUIDANCE FY 2013



United States Environmental Protection Agency
Office of Enforcement and Compliance Assurance
October 2012
http://www.epa.gov/compliance/environmentaljustice/grants/ej_smallgrants.htm

Office of Environmental Justice (2201A)

**FOR ADDITIONAL COPIES CONTACT YOUR REGIONAL EJ COORDINATOR FOUND ON PAGES 28 – 30**

*Inside Front Cover*

## OVERVIEW

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|---|---|
| **AGENCY:** | **U. S. ENVIRONMENTAL PROTECTION AGENCY**<br>**OFFICE OF ENVIRONMENTAL JUSTICE** |
| **TITLE:** | **ENVIRONMENTAL JUSTICE SMALL GRANTS PROGRAM** |
| **TYPE:** | **REQUEST FOR APPLICATIONS (RFA) – AMENDMENT** |
| **FUNDING NO.:** | **EPA-OECA-OEJ-13-01** |
| **CFDA NO:** | **66.604** |
| **DATES:** | **ANNOUNCEMENT DATE: October 15, 2012**<br>**CLOSING DATE: January 7, 2013** |

Hard copy application packages must be postmarked by USPS or date-stamped by courier service no later than **11:59 p.m. Eastern Standard Time (EST), January 7, 2013**. Application packages submitted electronically via http://www.grants.gov must be submitted by **11:59 p.m. EST, January 7, 2013**. Applications received after the closing date and time will not be considered for funding. Questions must be submitted in writing via e-mail to ej_small_grants@epa.gov before **January 2, 2013**. Written responses will be posted on EPA's web site at: http://www.epa.gov/compliance/environmentaljustice/grants/ej-smgrants.html

**EXECUTIVE SUMMARY:** The Environmental Justice Small Grants (EJSG) Program provides funding for eligible applicants for projects that address local environmental and public health issues within an affected community. The EJSG Program is designed to help communities understand and address exposure to multiple environmental harms and risks**.**

### What types of projects are eligible for funding?

Under this RFA, EPA will award grants that support activities designed to empower and educate communities to understand environmental and public health issues and to identify ways to address these issues at the local level.

The long-term goals of the EJSG Program are to help build the capacity of communities with environmental justice concerns and to create self-sustaining, community-based partnerships that will continue to improve local environments in the future.

### Who is eligible to receive an award under the EJSG Program?

An eligible applicant **MUST BE** one of the following entities:

- incorporated non-profit organizations—including, but not limited to, environmental justice networks, faith based organizations and those affiliated with religious institutions;
- federally recognized tribal governments; OR
- tribal organizations

Applicants must be located within the same state, territory, commonwealth, or tribe in which the proposed project is located.

In addition, eligible applicants must demonstrate that they have worked directly with the affected community. An "affected community," for the purposes of this assistance agreement program, is defined as a vulnerable community that may be disproportionately impacted by environmental harms and risks and has a local environmental and public health issue that is identified in the applicant's application.

The following entities are **INELIGIBLE** to receive an award, but we encourage partnerships with these organizations for technical assistance:

- colleges and universities;
- hospitals;
- state and local governments and their entities;
- quasi-governmental entities (e.g., water districts, utilities)*;
- national organizations and chapters of the aforementioned organizations**;
- multi-state organizations;
- non-profit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995; and
- organizations acting only as "fiscal agents"

* Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

** National organizations are defined as comprising of one centralized headquarters or principal place of business that creates and controls the mission, structure and work carried out by its chapters.

**How much funding is available?**

The total estimated available funding for awards under this competitive opportunity is $1,500,000 for projects related to one of the seven statutes listed in Section I.C. EPA anticipates awarding one to five grants per EPA region in amounts of up to $30,000 per award for one year.

The EJSG Program is very competitive. In the 2012 competition, more than 200 applications were received and 50 projects were funded.

EPA reserves the right to increase or decrease the total number of grants awarded or reject all applications and make no awards under this announcement. Such changes may be necessary as a response to the quality of applications received by EPA or the amount of funds available.

**Translations Available**

A Spanish translation of this announcement may be obtained by calling the Office of Environmental Justice at 1-800-962-6215. To receive translations of this document in other languages, please contact Sheritta Woodruff in the Office of Environmental Justice at (202) 564-1771 or via email at ej_small_grants@epa.gov.

Hay traducciones disponibles de este anuncio en español. Si usted esta interesado en obtener una traduccion de este anuncio en 3español, por favor llame a La Officina de Justicia **Ambiental conocida como "Office of Environmental Justice," linea gratuita (1-800-962-6215).**

# FULL TEXT ANNOUNCEMENT

**I. Funding Opportunity Description**
**II. Award Information**
**III. Eligibility Information**
**IV. Application and Submission Information**
**V. Application Review Information**
**VI. Award Administration Information**
**VII. Agency Contacts**
**VIII. Other Information /Appendices**

## SECTION I – FUNDING OPPORTUNITY DESCRIPTION

### A. DEFINITION OF ENVIRONMENTAL JUSTICE

The U.S. Environmental Protection Agency (EPA) defines "environmental justice" as 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 one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. ***Meaningful involvement*** means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected.

### B. BACKGROUND

The EPA's Office of Environmental Justice (OEJ) established the Environmental Justice Small Grants Program in fiscal year (FY) 1994. The purpose of this grant program is to support activities designed to empower and educate communities to understand environmental and public health issues and to identify ways to address these issues at the local level.

The EJSG Program has funded projects that support collaborative partnerships that address local environmental issues such as exposure to air toxics and lead, farm worker and residential exposure to pesticides, youth involvement in education, etc. Summaries of all EJSG projects funded from FY 2000 to 2012 are available on the OEJ website:
http://www.epa.gov/compliance/environmentaljustice/grants/ej-smgrants.html
All proposed projects should include activities designed to empower and educate communities to understand environmental and public health issues and to identify ways to address these issues at the local level **as they relate to the seven statutes listed in Section I.C.**
All proposed projects considered for funding under this announcement should include a work plan. All work plans should include strategies for addressing local environmental or public health issues, educating and empowering the community about those issues, and approaches to building consensus and setting community priorities. In addition, the work plan should demonstrate

collaboration with other stakeholders (e.g., other community-based organizations, environmental groups, businesses, industry, federal, tribal, state and local governments, and academic institutions) in an effort to realize project goals and objectives.

EJSG recipients will be required to attend a two-day EJSG Training Workshop September, 2013. It is anticipated the training workshop will be held at EPA Headquarters in Washington, DC. Some of the training objectives for the two-day workshop will be to help the recipient with strategic planning and grant management. The workshop will afford numerous opportunities for the recipient to network with other EJSG community representatives.

## C. QUALIFIED ENVIRONMENTAL STATUTES

Each project must include activities related to **at least one** of the following federal environmental statutes. Any failure to clearly and conclusively identify and cite the statutes in your work plan shall result in your project not receiving the maximum points eligible under the ranking criteria.

1) ***Clean Water Act***, Section 104(b) (3): conduct and promote the coordination of research, investigations, training, demonstration projects, surveys, and studies (including monitoring) relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution.
2) ***Safe Drinking Water Act***, Section 1442I (3): develop and expand the capability to carry out a program (that may combine training, education, and employment) for occupations relating to the public health aspects of providing safe drinking water.
3) ***Solid Waste Disposal Act***, Section 8001(a): conduct and promote the coordination of research, investigations, experiments, training, demonstration projects, surveys, public education programs, and studies relating to solid waste (e.g., health and welfare effects of exposure to materials present in solid waste and methods to eliminate such effects). ***Please note that proposals supporting brownfields work are not eligible for funding under this announcement.***
4) ***Clean Air Act***, Section 103(b)(3): conduct research, investigations, experiments, demonstration projects, surveys, and studies (including monitoring) related to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution.
5) ***Toxic Substances Control Act***, Section 10(a): conduct research, development, monitoring, public education, training, demonstration projects, and studies on toxic substances.
6) ***Federal Insecticide, Fungicide, and Rodenticide Act***, Section 20(a): conduct research, development, monitoring, public education, training, demonstration projects, and studies on pesticides.
7) ***Marine Protection, Research, and Sanctuaries Act***, Section 203: conduct research, investigations, experiments, training, demonstration projects, surveys, and studies relating to the minimizing or ending of ocean dumping of hazardous materials and the development of alternatives to ocean dumping.

## D. EPA STRATEGIC PLAN LINKAGE AND ANTICIPATED OUTPUTS AND OUTCOMES

1) **Linkage to EPA Strategic Plan Goals and Cross Cutting Fundamental Strategies.** Tasks under this project should support EPA's Strategic Plan Goal 3: "Cleaning Up Communities and Advancing Sustainable Development" and EPA's Cross Cutting Fundamental Strategy, "Working for Environmental Justice and Children's Health." A copy of EPA's Strategic Plan is available online at http://www.epa.gov/planandbudget/strategicplan.html

2) **Anticipated Outputs and Outcomes.** In general, EJSG project activities should lead to outputs and outcomes that result in the reduction of harmful exposures and health risks to children and/or of potentially disproportionate health and environmental impacts or effects on communities, including underserved, low-income, minority, and/or tribal communities, and support community efforts to build healthy neighborhoods. These activities are designed to support, empower and educate communities to understand environmental and public health issues and to identify ways to address these issues at the local level.

   **Outputs.** The term "output" means an environmental activity, effort, and/or associated work product related to an environmental/public health goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

Expected outputs for this program include but are not limited to the following:

- The number of residents trained by an environmental/public health program to reduce resident exposure to environmental/public health hazards (e.g., number of residents trained on safe shellfish harvesting)
- Creation of an environmental/public health program to achieve and sustain environmental/public health improvements (e.g., a community-wide asthma coalition; community weatherization program)

**Outcomes.** The term "outcome" means the result, effect, or consequence that occurs from carrying out an environmental/public health program or activity that is related to an environmental/public health programmatic goal or objective. Outcomes may be environmental, behavioral, health-related, or programmatic in nature, but must be quantitative. However, unlike outputs, outcomes may not necessarily be achievable within an assistance agreement funding period.

Examples of expected outcomes may be:

- The number of residents that actually adopt safe shellfish harvesting
- The number of community members that utilize an asthma action plan to manage asthma at home, work, and/or school
- The number of families that have reduced exposure to lead paint as result of their homes undergoing a lead abatement program
- Reduction of energy used in buildings (school/apartment building/business/homes)

# SECTION II – AWARD INFORMATION

## A. FUNDING AVAILABILITY AND PROJECT PERIOD

The total estimated amount of funding available for awards under this solicitation for FY 2013 is approximately $1,500,000 for activities related to the seven statutes listed in Section I.C. Awards will be made in the form of a one-year federal grant in amounts of up to $30,000 for projects related to at least one of the seven statutes listed in Section I.C. All awards will be fully funded at the time of award.

### B. NUMBER OF ANTICIPATED AWARDS

EPA anticipates awarding one to five grants per EPA region for projects related to at least one of the seven statutes listed in Section I.C, subject to the availability of funds and the quality of the applications submitted. For a listing of EPA's ten regions and the states for which they are responsible, please see Section VII. EPA reserves the right to reject all applications and make no awards under this announcement. If additional funding becomes available after the original selections are made, EPA reserves the right to make additional awards under this announcement consistent with Agency policy and guidance. Any additional selections for awards will be made no later than six months after the original selections have been made.

## SECTION III – ELIGIBILITY INFORMATION

### A. ELIGIBLE APPLICANTS BASED ON APPLICABLE CFDA

The applicable Catalog of Federal Domestic Assistance (CFDA) for this program is 66.604. Assistance under this program is only available to the following types of applicants.

An eligible applicant **must be** one of the following entities:

- incorporated non-profit organizations—including, but not limited to, environmental justice networks, faith based organizations and those affiliated with religious institutions;
- federally recognized tribal governments; OR
- tribal organizations

Applicants must be located within the same state, territory, commonwealth, or tribe in which the proposed project is located.

In addition, eligible applicants must demonstrate that they have worked directly with the affected community. An "affected community," for the purposes of this assistance agreement program, is defined as a vulnerable community that may be disproportionately impacted by environmental harms and risks and has a local environmental and public health issue that is identified in the applicant's proposal.

The following entities are **INELIGIBLE** to receive a grant. However, we encourage partnerships with these organizations for technical assistance:

- colleges and universities;
- hospitals;
- state and local governments and their entities;
- quasi-governmental entities (e.g., water districts, utilities)*;
- national organizations and their chapters** ;
- multi-state organizations;
- Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply; and
- organizations acting only as "fiscal agents"

** Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.*

*** National organizations are defined as comprising of one centralized headquarters or principal place of business that creates and deeply influences the mission, structure and work carried out by its chapters.*

## B. THRESHOLD ELIGIBILITY CRITERIA

Applications must meet all the following requirements at the time of submission. Applications failing to meet these requirements will be eliminated and no longer considered for funding under this competition. Only applications from eligible entities (see above for eligibility criteria) that meet all of these criteria will be evaluated against the ranking factors in Section V of this announcement. Applicants deemed ineligible for funding consideration will be notified within 15 calendar days of the ineligibility determination.

**1. General Guidelines**

a) Applications must substantially comply with the application submission instructions and requirements set forth in Section IV of this announcement. Applications that fail to substantially comply with the submission instructions and requirements set forth in Section IV will be rejected. Section IV of this announcement sets forth a page limitation with respect to the narrative proposal. Pages in excess of the page limitation as expressed in Section IV will not be reviewed.

b) Applications must be received by EPA or through www.grants.gov on or before the application submission deadline. The application submission deadline is published in Section IV of this announcement. Applicants are responsible for ensuring that their application reaches the designated person/office specified in Section IV of this announcement by the submission deadline.

c) Applications received after the submission deadline will be considered late and returned to the sender without further consideration. Late applications will only be considered if the applicant can clearly demonstrate mishandling of the application by EPA or because of technical problems associated with www.grants.gov. Where Section IV requires receipt of the application by a specific person/office, receipt by an agency mailroom is not sufficient. Applicants should confirm receipt of their application as soon as possible following the submission deadline. Failure to do so may result in your application not being reviewed.

**2. Project Purpose:** The primary purpose of the project must be to help communities facing environmental justice challenges understand and find solutions to local environmental and public health issues as referenced in Section I.

**3. Applicant Eligibility:** Potential applicants must demonstrate eligibility under this program. Eligibility under this program is limited to incorporated non-profit organizations including, but not limited to, environmental justice networks, faith based organizations, organizations affiliated with religious institutions, federally recognized tribal governments or tribal organizations (See Section III.A.).

**4. Eligible Activities**. The applicant must demonstrate that the project will carry out eligible activities under one or more of the above referenced environmental statutes. Applicants must explain how the project will address local environmental/public health issue(s) in the targeted community (See Section I. C). **Projects must not be used for the purposes of routine program implementation, implementation of routine environmental protection restoration measures, or completion of work which was to have been completed under a prior EPA grant.**

**5. Budget:** EPA will make one-year awards of up to $30,000 for projects related to at least one of the seven statutes listed in Section I.C. Applications submitted with budgets over $30,000 for projects related to the seven statutes listed in Section I.C, will not be considered for award.

**6. Multiple Proposals:** Applicants may submit only one application under this solicitation. However an applicant organization may be a partner on an application from another organization.

**7. Ineligible activities**: If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding.

### C. COST-SHARING OR MATCHING FUNDS

No cost-sharing or matching is required as a condition of eligibility or otherwise considered for evaluating applications for award.

## SECTION IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION FORMS REQUIRED FOR THIS SOLICITATION

Applicants can request a hard copy of the forms or template by contacting their Regional Coordinator. Please refer to "SECTION VII – AGENCY CONTACTS" for a complete listing containing contact information for each region.

All required forms are also available at: http://www.epa.gov/ogd/AppKit/application.htm
Optional templates and samples are available in Appendix A – H.

### B. CONTENT AND FORM OF APPLICATION SUBMISSION

Applications submitted via U.S. Postal or courier service must contain the original application **and** two copies. Applications submitted electronically via www.grants.gov **do not** require two copies. No matter how an application is submitted, it **MUST** include the following required forms and documents:

1) EJSG One-Page Threshold Eligibility Form (Appendix A)
2) SF-424 Application for Federal Assistance (Appendix B)
3) Key Contacts List EPA Form 5700-54 (Appendix C)
4) Workplan (Optional template in Appendix D)
5) Detailed Budget (Optional logic model template and example in Appendices E and F)

6) Resumes of the project manager (PM) and other key personnel
7) Project Performance Measures (Optional template and example in Appendices G & H)
8) Proof of Non-Profit Status

**The following is a detailed description of all the required forms and documents.**

1) **EJSG ONE-PAGE THRESHOLD ELIGIBILITY FORM (attached as Appendix A)**

2) **SF-424 APPLICATION FOR FEDERAL ASSISTANCE, with original signature (Appendix B):** The SF-424 is the official form for all federal grants and cooperative agreements. It requests basic information about your organization and proposed project. To complete the SF-424 form, applicants must provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-800-627-3867 or by visiting the D&B website at http://www.dnb.com.

3) **KEY CONTACTS LIST, EPA Form 5700-54 (Attached as Appendix C):** Applicants are encouraged to ensure that all information presented on the Key Contacts form is accurate. Information contained on the Key Contacts form may be used in the event an applicant is contacted for additional information.

4) **WORKPLAN (optional template is available in Appendix D):** The workplan is the most important part of the application package. The workplan describes the project. Workplans that are focused and succinct are stronger than ones that try to address too many issues. The workplan should not exceed ten (10), single-spaced typewritten pages. Anything over ten (10) pages will not be read by the Review Panel. The pages of the workplan should be letter-size (8 1/2 X 11 inches), single-spaced. It is recommended that applicants use a standard 12-point type with 1-inch margins. There will be no penalty for using a different page size or font type, but it is **strongly discouraged**. Do not use spiral binding, separation tabs, or plastic covers. The applicant may bind the paperwork with a staple***. Do not include videos or DVDs.***

**(CONTINUED ON NEXT PAGE)**

**The 10 page work plan must contain the following components and should be identified by the headings in the exact order as listed below**. The headings correspond with the criteria in Section V that will be used to evaluate each eligible application.

## I. Project Title and Project Purpose Statement

**Provide the following information:**

- A title for the project;
- A summary description of the proposed project including the goals the project seeks to achieve;
- Location of where the project will take place (include city, state and zip code);
- Identify the related environmental statute(s) from the list in Section I.C.

## II. Environmental and Public Health information about the Affected Community

**Please describe the following:**

- The local environmental and public health issue(s) that the project seeks to address;
- Results achieved from the efforts to address the local environmental and public health issues(s);
- The characteristics of the affected community;
- How the affected community may be disproportionately impacted by the environmental and/or public health harm(s) and risk(s);
- How the affected community will benefit from the results of the project.

The application must include relevant information such as demographics, geographic location, and community history.

## III. Organization's Historical Connection to the Affected Community

**Please describe the following**:

- The history of the organization's involvement with the affected community, including the length of your involvement and how you became involved;
- How the organization has worked with the affected community's residents and/or organizations to address local environmental and public health issues;
- How the residents of the affected community are part of the decision-making process;
- How the organizations' efforts have increased the community's capacity to address local environmental and public health issues; and
- How the organization maintains and sustains an ongoing relationship with the affected community's residents and/or organizations.

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## IV. Project Description

The Project Description is an opportunity to describe the strategies for addressing local environmental and public health issues, how the project will educate and empower the community, project goals, the components of the project, the timeframe to accomplish the proposed activities and the evaluation process for determining success (a timeline and/or milestone chart is strongly suggested). The roles and responsibilities of all key organizations involved in the project should also be included.

The Project Description **MUST** address the following items:

**i) A concise description of the activities the project will undertake during the year to examine and address the environmental and public health issue(s), e.g., training, education/outreach programs, capacity-building efforts, research etc.**

**Please describe the following:**

- The local environmental/public health results the project projects seeks to achieve; and
- How the project will achieve these results (Describe and/or identify activities designed to educate, empower and enable community to understand the environmental and public health issues).
- How the organization's efforts will increase the community's capacity to address local environmental and public health issues.
- How the project is related to the environmental statutes you identified in your Threshold Eligibility Form (see Section I.C and Appendix A). Please note each project must include activities that are authorized by one of the federal environmental statutes listed in Section I.C.

**ii) A concise description of how the organization and its partner(s) will work together during the year to address the local issue(s).**

**Please describe the following**:

- The role of your partner(s) in addressing the local environmental/public health issue(s);
- The nature of the organization(s), and what resources they bring to the partnership;
- How the partner(s) has a vested interest in working with this partnership [other than just getting income], commitments made, and specific activities it will be responsible for; and
- How the applicant plans to maintain and sustain the partnerships.

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## V. Organizational Capacity and Programmatic Capability

**Please provide the following information:**

- The organizational and administrative systems (e.g., accounting programs) the organization has in place that will be used to appropriately manage, expend, and account for Federal funds;
- How the applicant has successfully managed these projects in the past;
- How the applicant plans to effectively manage and successfully complete this proposed project;
- Organizational experience (or the ability to obtain such experience) to successfully achieve the goals of the proposed project.
- If the applicant has been a recipient of an EPA and/or other Federal grant/cooperative agreement in the last five years, please indicate past performance in meeting reporting requirements (e.g., progress reports, financial status). Please also include the name of the Project Officer overseeing the grant/cooperative agreement and the assistance agreement number associated with the project(s);

**If the applicant does not have prior experience in managing federal funds please indicate this in the workplan narrative, you will receive a neutral score in this area. Failure to do so will result in receiving a score of 0 for this element.**

## VI. Qualifications of the Project Manager (PM)

**Please describe the following:**

- The qualifications of the PM as they relate to the project;
- How the PM has ties to the community and/or organization; and
- Past activities that the PM has worked on with the community.

## VII. Past Performance in Reporting on Outputs and Outcomes

**Provide the following information:**

- A list of any Federal or non-Federal grants or cooperative agreements (not Federal contracts) of similar size, scope, and relevance to the proposed project that you worked on within the past three (3) years (no more than five (5) agreements, preferably EPA agreements). Please include the grant or cooperative agreement number, title of the project, the amount of funding, funding agency or organization, and point-of-contact;

(continued on next page)

- A description of how you have documented and/or reported on progress towards achieving the expected outputs and outcomes under prior and/or current assistance agreements; and
- If you did not make any progress towards achieving the expected outputs and outcomes, describe whether you have documentation and/or reports satisfactorily explaining why.

**If the applicant does not have prior experience in reporting outputs and outcomes please indicate this in the proposal, a neutral score in this area is given. Failure to do so will result in receiving a score of 0 for this element.**

**VIII. Quality Assurance Project Plan (QAPP) Information**

**Please describe the following:**

- Indicate whether you believe that your project will involve the use of existing environmental data or the collection of new data (use the checklist in Appendix I to assist you in making this determination). For more information about Quality Assurance Project Plans, please consult the following website http://www.epa.gov/quality/qs-docs/g5-final.pdf.

**You are not required to develop a QAPP at this point.** You are only being asked to determine whether or not you will need a QAPP should your project be selected for funding. If required, then an approved QAPP must be in place ***prior*** to the initiation of project activities.

**5) Detailed Budget (Optional template and example are available in Appendices E and F). Applicants must include a detailed budget breakdown that demonstrates the following:**

- Shows how the funds will be specifically used in terms of personnel, fringe benefits, travel, equipment, supplies, contractor costs, other cost including any indirect costs; and
- Itemizes each cost.
- If the applicant does not have a current negotiated (indirect cost) IDC rate, the applicant may include a flat IDC rate of 10% of salaries and wages (see 2 CFR Part 230, Appendix A). **Please note**: Recipients that opt to use the 10% flat rate are obligated to use the flat rate for the life of the grant award.

Funding Restrictions EPA grant funds can only be used for the purposes set forth in the assistance agreement, and must be consistent with the statutory authorities for the award. All costs identified in the budget must conform to applicable Federal Cost Principles contained in OMB Circular A-87 and A-122; as appropriate. Copies of circulars can be found at http://www.whitehouse.gov/omb/circulars. In particular, the recipient cannot use these funds for the following activities under this assistance program:

- Litigation against the Federal government or any other government entity;
- Construction;
- Lobbying;
- Matching funds for other Federal grants;
- Travel for Federal employees;
- Human health studies (taking blood or other bodily fluids from humans).

**Ineligible activities**: If a proposal is submitted that includes any ineligible tasks or activities, that portion of the proposal will be ineligible for funding and may, depending on the extent to which it affects the proposal, render the entire proposal ineligible for funding

6) **Resumes of the Project Manager (PM) and Other Key Personnel.** Applicants must attach a resume of the PM and other key personnel named on the Key Contacts List. (See Appendix C for EPA Form 5700-54)

7) **Project Performance Measures (Optional logic model template and example are available in Appendices G and H).**

The ability to measure project progress is critical to achieving desired goals. Targeting work toward specific project outcomes can help the recipient manage the project to achieve these results. Measurement can indicate what is working with the project and what is not, and when it may be necessary to adapt the approach. It will tell whether the efforts are having a positive impact on the community.

**Please list and describe the following:**

- ***Resources/Inputs***: Identify which resources, the organization and any partner(s) (if applicable) are putting forward to further the project's goals. Resources may include but are not limited to staff time, in-kind contributions, monetary contributions, etc.
- ***Activities*:** What activities will the organization and its partner(s) (if applicable) conduct under your workplan?
- ***Outputs and Outcomes:*** Describe the outputs and outcomes that will result from the project (potential outputs and outcomes are listed in Section I. D). The following are items to consider when developing output and outcome measures:

  For projects involving *training*, possible outputs are the number of people trained and/or the number of training sessions held. Possible outcomes are the number of people who increase their awareness of the environmental and public health issue(s) and/or the number of people who adopt or change certain behaviors to reduce their exposure to environmental hazards as a result of the training.

  For projects involving *meetings or forums*, an output may be the number of people attending the meetings or forums, the number of meetings or forums held, and any product (strategy or outreach plan, brochure, pamphlet, etc.) that was produced as a result of the meeting or forum. If your proposed project wants to affect change among the participants in the meeting or forum, possible outcomes are the number of meeting or forum attendees who have increased awareness of the environmental and public health issue(s) or the number of meeting or forum attendees who adopt or change certain behaviors as a result of the meeting or forum.

If the purpose of the meetings or forums is to develop a product (strategy or outreach plan, brochure, pamphlet, etc.) in order to reach a target population, e.g., people, businesses, organizations, etc. outside of the meeting or forum attendees, a possible outcome may include the number of those in your target population who have made changes as a result of the implementation or dissemination of the product.

**When developing performance measures for all projects, it's important to consider the following:**

1) What are the measurable short term and longer term results the project will achieve?
2) How will my project measure progress in achieving the expected results (including outputs and outcomes) and how will the approach use resources effectively and efficiently?

In order to determine whether your project has achieved its intended outputs and outcomes, you will need to think about *what* your data source will be (e.g., people, existing records, observation, etc.) and *how* you will collect the data (e.g., observing behavior changes, administering pre- and post-tests). You will need to do this for each performance measure you develop.

For example, for projects involving training, the possible source for your data would be the participants who receive the training and a possible way to collect data would be administering pre- and post-tests to training participants to measure their changes in attitude or increased knowledge. A follow-up survey could be conducted at a later point in time to measure any behavior changes as a result of the training. You will need to think carefully about your data collection process in order to get quality information from your project and to achieve your projects' intended results.

One tool that may be useful to you in developing output and outcome measures is a "logic model." A logic model is a visual model that shows the relationship between your work and your desired results. It communicates the performance story of your project, focusing attention on the most important connections between your actions and the results. A logic model can serve as a basic road map for the project, explaining where you are and where you hope to end up. An optional logic model template and example are available in Appendices I and J.

The following websites provide information on developing a logic model, performance measures, and other tools to measure project outcomes:

An EPA Region 10 Web Page with measurement information and tools:
http://yosemite.epa.gov/R10/ECOCOMM.NSF/webpage/measuring+environmental+results

A University of Wisconsin Extension Service online course on enhancing performance using logic models: http://www.uwex.edu/ces/lmcourse/

**8) Proof of Non-profit Status for non-governmental organizations**. An eligible nonprofit organization applicant must attach the certificate that shows it is either: (1) a 501(c) (3) non-profit organization as designated by the Internal Revenue Service; OR (2) a non-profit organization, recognized by the state, territory, commonwealth, or tribe in which it is located. The letter must be on official state government letterhead.

## C. SUBMISSION DATES AND TIMES

All completed applications must be postmarked by USPS, date-stamped by courier service or submitted electronically via www.grants.gov by January 7, 2013 11:59 p.m., Eastern Standard Time (EST). For instructions on submitting applications electronically, please see Section IV. I. Paper applications should be sent to either one of the addresses below:

| Courier/Delivered Address | U.S. Postal Service Address |
|---|---|
| Sheritta Woodruff<br>U.S. EPA/Office of Environmental Justice<br>1200 Pennsylvania Avenue NW, Room 2202E<br>Washington, DC 20004<br><br>Phone: 202-564-1771<br>E-mail: ej_small_grants@epa.gov | Sheritta Woodruff<br>U.S. EPA/Office of Environmental Justice<br>Mail Code 2201A<br>Washington, DC 20460<br><br>Phone: 202-564-1771<br>E-mail: ej_small_grants@epa.gov |

Please note, applicants who choose to submit via the U.S. Postal Service (USPS) must submit their application package using USPS overnight or express mail.

## D. PARTNERSHIPS, CONTRACTORS AND SUBAWARDS

The EJSG Program supports the development of collaborative partnerships dedicated to identifying and understanding the multiple local environmental and public health issues in communities, educating communities about the issues, and setting priorities to address the issues. EPA encourages establishing and building collaborative partnerships with other stakeholders who share a desire to address the local environmental and public health issues affecting their community. Establishing partnerships with a wide array of different stakeholders is a necessary component of collaborative problem-solving.

EPA awards funds to one eligible applicant as the recipient even if other eligible applicants are named as partners or co-applicants or members of a coalition or consortium. The recipient is accountable to EPA for the proper expenditure of funds. The following questions and answers provide additional information on Federal regulations governing partnerships, contractors and subaward recipients.

### Contracts and Subawards:

**a. Can funding be used for the applicant to make subawards, acquire contract services, or fund partnerships?**

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with

subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133 , and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

**b. How will an applicant's proposed subawardees/subgrantees and contractors be considered during the evaluation process described in Section V of the announcement?**

Section V of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

(i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for-profit firms or individual consultants.

(ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of named subawardees/subgrantees and/or named contractor(s) during the proposal/application evaluation process unless the applicant complies with these requirements.

## E. INTERGOVERNMENTAL REVIEW

All applications submitted are subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.” Applicants should contact their State’s Single Point of Contact (SPOC) to find out how to comply with the State’s process. The names and addresses of the SPOC’s are listed in the Office of Management Budget’s website: http://www.whitehouse.gov/omb/grants_spoc

**You should submit your application to your SPOC at the same time as you submit your application to the EPA in order to prevent delay. The intergovernmental review process can be lengthy, so it is encouraged that applicants submit application packages to their designated SPOCs as early as possible.**

## F. CONFIDENTIAL BUSINESS INFORMATION

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications or portions of applications they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure. The Agency protects competitive applications from disclosure under applicable provisions of the Freedom of Information Act prior to the completion of the competitive selection process.

## G. PRE-APPLICATION ASSISTANCE

Applicants are invited to participate in conference calls with EPA to address questions about the EJSG Program and this solicitation. The following are the conference call dates and times. Please call or send an e-mail to Sheritta Woodruff at ej_small_grants@epa.gov or your regional point of contact, and provide the following information: (1) your name; (2) the name of your organization; (3) the address of your organization; (4) your phone number; (5) and the preferred date for the call. If you cannot reply by e-mail, you can also register by calling your regional EJ Coordinator listed in Section VII.

Interested persons may access the pre-application assistance calls by dialing 1-866-299-3188 and entering the code 202-564-1771 when prompted.

| Date | Time (Eastern) |
|---|---|
| Tuesday, October 30, 2012 | 1:30 - 3:00 p.m. |
| Wednesday, November 14, 2012 | 4:00 - 5:30 p.m. |
| Saturday, December 1, 2012 | 1:00 - 2:30 p.m. |
| Thursday, December 13, 2012 | 7:00 - 8:30 p.m. |

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. However, consistent with the provisions in the announcement, EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement.

## H. MANAGEMENT FEES

When formulating budgets for applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant's audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded

under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

## I. ELECTRONIC SUBMISSION PROCEDURES

### *General Application Instructions*

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to http://www.grants.gov and click on "Get Registered" on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR (Authorized Official Representative) and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to http://www.grants.gov and click on the "Apply for Grants" tab on the left side of the page. Then click on "Apply Step 1: Download a Grant Application Package and Instructions" to download the compatible Adobe Viewer and obtain the application package. **To apply through grants.gov you must use Adobe Reader applications and download compatible Adobe Reader version (Adobe Reader applications are available to download for free on the Grants.gov website. For more information on Adobe Reader please visit the "Help" section on grants.gov** at http://www.grants.gov/help/help.jsp or http://www.grants.gov/aboutgrants/program_status.jsp

Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, **EPA-OECA-OEJ-13-01**, or the CFDA number that applies to the announcement (CFDA 66.604), in the appropriate field. You may also be able to access the application package by clicking on the Application button at the top right of the synopsis page for this announcement on http://www.grants.gov (to find the synopsis page, please visit http://www.grants.gov and click on the "Find Grant Opportunities" button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

### Application Materials

**The following forms and documents are required to be submitted under this announcement:**

1) EJSG One-Page Threshold Eligibility Form (Appendix A)
2) SF-424 Application for Federal Assistance (Appendix B)
3) Key Contacts List EPA Form 5700-54 (Appendix C)
4) Workplan (Optional template in Appendix D)
5) Detailed Budget (Optional logic model template and example in Appendices E and F)
6) Resumes of the PM and other key personnel (Principal Investigator/Project Manager).
7) Project Performance Measures (Optional template and example in Appendices G & H)
8) Proof of Non-Profit Status

**The application package must include all of the following materials:**

**1. SF-424, Application for Federal Assistance**

**Standard Form (SF) 424, Application for Federal Assistance -** Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

**The document, SF-424,** above should appear in the "Mandatory Documents" box on the Grants.gov Grant Application Package page. For this document, click on the appropriate form and then click "Open Form" below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out the form, click "Save." When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, "Move Form to Submission List." This action will move the document over to the box that says, "Mandatory Completed Documents for Submission."

**2. Workplan**

The document should be readable in PDF or MS Word and consolidated into a single file.

**You must follow all the instructions under Section IV. B, "Narrative Proposal Work-Plan." If you do not carefully follow the instructions or if you fail to address any required element in the proposal, it may impact your ability to secure an award under this Program.**

For your proposal, you will need to attach an electronic file. Prepare your workplan as described above in Section IV. B. 3 and save the document to your computer as an MS Word or PDF. When you are ready to attach your proposal to the application package, click on "Project Narrative Attachment Form," and open the form. Click "Add Mandatory Project Narrative File," and then attach your workplan (previously saved to your computer) using the browse window that appears. You may then click "View Mandatory Project Narrative File" to view it. Enter a brief descriptive title of your project in the space beside "Mandatory Project Narrative File Filename;" the filename should be no more than 40 characters long. To attach other forms and documents that may accompany your workplan, click "Add Optional Project Narrative File" and proceed as before. When you have finished attaching the necessary forms and documents (see Application Materials for a list of required forms/documents), click "Close Form." When you return to the "Grant Application Package" page, select the "Project Narrative Attachment Form" and click "Move Form to Submission List." The form should now appear in the box that says, "Mandatory Completed Documents for Submission."

**3. Detailed Budget Narrative**

You must include a detailed budget breakdown that shows how EPA funds will be specifically used in terms of personnel, fringe benefits, travel, equipment, supplies, contractor costs, other costs. All costs must be itemized and broken into unit costs. Your budget will be evaluated on the reasonableness of the costs and how the budget relates to the activities in your proposal.

The document should be readable in PDF or MS Word and consolidated into a single file and be submitted using the Other Attachments form.

**Please note that applicants are limited to using the following characters in all attachment file names. Valid file names may only include the following UTF-8 characters:**

> **A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period. If applicants use any other characters when naming their attachment files their applications will be rejected by grants.gov.**

Once you have finished filling out all of the forms/attachments and they appear in one of the "Completed Documents for Submission" boxes, click the "Save" button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: "Applicant Name – FY13 – Assoc Prog Supp – 1st Submission" or "Applicant Name – FY 13 Assoc Prog Supp – Back-up Submission." If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to "Applicant Name – FY13 Assoc Prog Supp – 2nd Submission."

Once your application package has been completed and saved, send it to your AOR for submission to U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov.

In the "Application Filing Name" box, your AOR should enter your organization's name (abbreviate where possible), the fiscal year (e.g., FY13), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the "Grant Application Package" page, your AOR may submit the application package by clicking the "Submit" button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at http://www.grants.gov/help/help.jsp or contact --Sheritta Woodruff at ej_small_grants@epa.gov or call 202.564.1771.

Application packages submitted through www.grants.gov are time/date stamped electronically.

If you have not received a confirmation of receipt from EPA (*not from grants.gov*) within 30 days of the application deadline, please contact Sheritta Woodruff at **woodruff.sheritta@epa.gov.** Failure to do so may result in your application not being reviewed.

**Application Submission Deadline:** Your organization's AOR must electronically submit your complete application to EPA through grants.gov (http://www.grants.gov) no later than 11:59 p.m. EST, January 7, 2013.

Please submit **all** of the application materials described in Section IV. To view the full funding announcement, go to http://www.epa.gov/compliance/environmentaljustice/grants/ej-smgrants.html or go to http://www.grants.gov and click on "Find Grant Opportunities" on the left side of the page and then click on Search Opportunities/Browse by Agency and select Environmental Protection Agency.

# SECTION V – APPLICATION REVIEW INFORMATION

## A. CRITERIA

1) **Threshold Evaluation Criteria.** Before an application is reviewed by a panel of EPA staff (Review Panel), the application will be screened to ensure that it meets the Threshold Eligibility Criteria (See Section III.B). An application will not be reviewed according to the evaluation criteria set forth below if it does not meet the Threshold Eligibility Criteria.

2) **Ranking Criteria.** Applications meeting the Threshold Evaluation Criteria will be reviewed and scored by the Review Panel. Each criterion has corresponding points that range from 2 points (lowest) to 25 points (highest). The score for each criterion will be based on how well each criterion is addressed. The maximum total number of points is 100. Please note that certain sections are given greater weight than others. The application will be scored on the following Ranking Criteria:

| Criteria | Maximum Points per Criterion |
|---|---|
| **Environmental/Public Health Information.** The applicant will be evaluated on the ability to clearly describe the local issue(s) the project proposes to address and the community that is impacted. This will be determined through the description of the following areas **(Maximum of 3 points each)**:<br>**(1)** the local environmental/public health issue that the project seeks to address;<br>**(2)** the local environmental/public health results the project seeks to achieve;<br>**(3)** the affected community the applicant is directly working with to address the issues<br>**(4)** how the affected community may be disproportionately impacted by environmental harms and risks/climate change; and<br>**(5)** how the affected community will benefit from the project's intended local results. The applicant must include relevant information such as demographics, geographic location, and community history. | **15 points total** |
| **Organization's Historical Connection to Affected Community.** The applicant will be evaluated on the description of the strong connection between the organization and the affected community. In scoring this section, reviewers will consider the strength of the organization's historical involvement with the affected community and the on-going communications between with the affected community residents and/or organizations. In addition, reviewers will consider the extent of the affected community's active participation in the project and in the decision-making process. This will be determined through the description of the following areas **(Maximum of 3 points each**):<br>**(1)** history of the applicants involvement with the affected community, including duration of involvement and circumstances that led to your involvement;<br>**(2)** how the applicant has worked with the affected community's residents and/or organizations to address local environmental and public health issues;<br>**(3)** how the affected community's residents and/or organizations are part of the decision-making process;<br>**(4)** how the applicant's efforts have led to increased capacity on the part of local community-based organizations to address local environmental and public health issues; and<br>**(5)** how the applicant will maintain and sustain an ongoing relationship with the affected community's residents and/or organizations. | **15 points total** |
| **Project Description.** The applicant will be evaluated on the ability to describe the activities the project will undertake to examine and address the environmental and public health issue(s) and how the organization and partner(s) (if applicable) will work together to address the local environmental and public health issue(s). The reviewers will give more consideration to a description that is focused, succinct rather than one | **25 points** |

| | |
|---|---|
| that tries to address too many issues. The workplan narrative will be evaluated on the clarity of write-up in addressing the following areas **(Maximum of 5 points each)**:<br>(1) the local environmental and public health results the projects seeks to achieve;<br>(2) how the project will achieve these results;<br>(3) The role of your partner(s) (if applicable) in addressing the local issue(s) and how you plan to maintain and sustain the partnerships;<br>(4) The nature of the organization, what resources it brings to the partnership, how it has a vested interest in working with this partnership [other than just getting income], commitments made, and specific activities it will be responsible for; and<br>(5) How the project is related to the environmental statutes you identified in your work plan and Threshold Eligibility Form. | |
| **Organizational Capacity and Programmatic Capability.** The applicant will be evaluated on the ability to demonstrate how your organization has the organizational capacity and programmatic capability to undertake this project. This will be determined through your description of:<br>**1)** applicant past performance in successfully completing and managing assistance agreements similar in size, scope, and relevance to the proposed project performed within the last 5 years and your history of meeting reporting requirements under these agreements, and how you plan to effectively manage and successfully complete this proposed project **(5 points**);<br>**2)** organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. (**3 points)**;<br>In evaluating your organization for past performance purposes under this criterion, OEJ will consider information provided by the applicant and may consider information from other sources, including Agency files. **Applicants who have no relevant or available past performance reporting must indicate this in the narrative and will receive a neutral score for this factor. A neutral score in this case is 5 points. Failure to do so will result in receiving a score of 0 for this element.** | **8 points total** |
| **Qualifications of Project Manager.** The applicant will be evaluated on the ability to clearly demonstrate that the PM selected to lead this project is the most qualified. This will be determined through the description of the following:<br><br>(1) why the PM is qualified to undertake the project; **(2 points)**<br>(2) how the PM has ties to the community and/or organization; and **(6 points)**<br>(3) past activities that the PM has worked on with the community. **(2 points)** | **10 points total** |
| **Past Performance in Reporting on Outputs and Outcomes.** Under this criterion, applicants will be evaluated on the demonstration of prior experience in reporting outputs and outcomes. This will be determined through the description of how progress is documented and/or reported, towards achieving the expected outputs and outcomes under prior and/or current assistance agreements, and if progress was not made towards achieving the expected outputs and outcomes, whether the documentation and/or reports satisfactorily explain why not.<br><br>Note: In evaluating applicants under this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant**). If the applicant does not have any relevant or available past performance or past reporting information, please indicate this in the proposal and the applicant will receive a neutral score for these subfactors (a neutral score is half of the total points available in a subset of possible points). If the applicant does not provide any response for these items, the applicant may receive a score of 0 for these factors.** | **5 points total** |

| | |
|---|---|
| **Detailed Budget.** The applicant will be evaluated on the reasonableness of the costs and how the budget relates to the activities under the project. The applicant will receive a score of "zero" for this criterion if you include costs that are restricted under Section IV. B "Workplan (Detailed Budget)." | **5 points total** |
| **Project Performance Measures/Milestones.** The applicant will be evaluated on the ability to formulate concrete, well-developed performance measures on a semi-annual and annual basis.<br>**1)** Identification of performance measures that determine whether or not the project meets the target(s) and are successful.<br>**2)** Measures that relate directly to the local environmental and public health. Indicate results the project seeks to achieve.<br>**3)** The approach for determining how and whether progress is made in achieving the expected project outcomes and outputs. (maximum of 5 points each) | **15 points total** |
| **Expenditure of Awarded Grant Funds.** Under this criterion, applicants will be evaluated based on their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner. | **2 points total** |
| **Total Maximum Points Available** | **100** |

## B. REVIEW AND SELECTION PROCESS

All applications will be reviewed and scored under a two-step process.

1) **Threshold Screening Process** - All applications will be screened for Threshold Eligibility at EPA headquarters (see Section III. B). EPA staff will screen all applications using the One-Page Threshold Eligibility Form found in Appendix A.

2) **Panel Review and Evaluation Process** - All applications that meet the Threshold Eligibility after the initial review will be forwarded to the appropriate EPA Region. (Please refer to Section VII for a listing of EPA's ten regions and the states that they serve). Each region will convene a panel to review, score and rank the applications based on the Ranking Criteria (see Section V. A. 2) published in this RFA. Applications will not be scored against any unpublished criteria. After the individual projects are reviewed, scored and ranked, the Agency will make the final selection. EPA reserves the right to reject all applications and make no awards under this announcement.

## C. ANTICIPATED ANNOUNCEMENTS AND AWARD DATES

Below is a tentative schedule of important dates for the EJSG Program. Please note dates are subject to change.

| Date | Activity |
|---|---|
| October 15, 2012 | EJSG Program is announced and published. |
| January 7, 2013 | Applications must be date-stamped by courier service, postmarked by U.S. Postal Service, or submitted through grants.gov by 11:59 p.m. (EST), January 2, 2013. Applications received after this date will not be reviewed. |
| January 7 – 18, 2013 | Staff at EPA headquarters will review applications for Threshold Eligibility Criteria. |
| January 2013 | Letters to ineligible applicants will be sent. Letters will provide brief explanations on the reason(s) for ineligibility. Ineligible applicants must request a debriefing within 15 days of receipt of the correspondence |
| January 18 – March 21, 2013 | EPA Review Panel reviews, scores, and ranks all eligible applications. |

| | |
|---|---|
| March 2013 | EPA will make the final selections for awards. All applicants will be notified of the selection results by mail/email. |
| June 2013 | The Director of EPA's Office of Environmental Justice will release a national announcement of the recipients. |

# SECTION VI – AWARD ADMINISTRATION INFORMATION

## A. AWARD NOTICES

EPA anticipates notification of selected finalists will be made via telephone or electronic or postal mail by March 2013. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award, is not an authorization to begin work. The successful applicant may be requested to submit a final proposal and additional application forms which must be approved by EPA before the grant can officially be awarded. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The time between notification of selection and award of a grant can take up to 90 days or longer.

Once applications have been recommended for funding, EPA will notify the finalists and request any additional information necessary to complete the award process. The finalists will be required to complete additional government application forms prior to receiving a grant, such as the EPA Form SF-424B (Assurances - Non-Construction Programs). The Federal government requires all grantees to certify and assure that they will comply with all applicable Federal laws, regulations, and requirements.

Unpaid Federal Tax Liabilities and Felony Convictions for Non-Profit and For-Profit Organizations (FY 13 funding)

EPA anticipates that awards made under this announcement will be subject to the provisions contained in the Department of Interior, Environment, and Related Agencies Appropriations Act, 2012, HR 2055, Division E. Sections 433 and 434 regarding unpaid federal tax liabilities and federal felony convictions. These provisions prohibit EPA from awarding funds made available by the Act to any for-profit or non-profit organization: (1) subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; or (2) that was convicted (or had an officer or agent of such corporation acting on its behalf convicted) of a felony criminal conviction under any Federal law within 24 months preceding the award, unless EPA has considered suspension or debarment of the corporation, or such officer or agent, based on these tax liabilities or convictions, and determined that such action is not necessary to protect the Government's interests. Based on the language in Public Law 112-175 (Continuing Appropriations Resolution, 2013) and subject to the language in a final FY 13 Appropriation Act, EPA anticipates that non-profit or for-profit organizations that are covered by these prohibitions will be ineligible to receive an award under this announcement.

## B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

**1)** A listing and description of general EPA regulations applicable to the award of assistance agreements may be viewed at: http://www.epa.gov/ogd/grants/regulations.htm.

**2) Central Contractor Registration (CCR)/System for Award Management (SAM) and Data Universal Numbering System (DUNS) Requirements**

Unless exempt from these requirements under OMB guidance at 2 CFR Part 25 (e.g., individuals), applicants must:
1. Be registered in the CCR prior to submitting an application or proposal under this announcement. CCR/SAM information can be found at https://www.sam.gov/portal/public/SAM/.
2. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency, and
3. Provide its DUNS number in each application or proposal it submits to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711, or visiting the D&B website at: http://www.dnb.com.

If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

Please note that the CCR has been replaced by the System for Award Management (SAM). To learn more about SAM, go to SAM.gov or https://www.sam.gov/portal/public/SAM/.

If an applicant fails to comply with these requirements, it will, should it be selected for award, affect their ability to receive the award.

**3) Subaward and Executive Compensation Reporting**

Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements, should they be selected for funding

## C. REPORTING

**1) Progress Report** - The Project Manager will be required to submit at least a semi-annual progress report to update the EPA Regional Project Officer on the project's progress.

**2) Final Report Requirement** – The Project Manager must submit a Final Technical Report for EPA approval within ninety (90) days after the end of the project period. A draft of this report should be submitted within sixty (60) days after the end of the project period. A Financial Status Report is also required and will be described in the award agreement. The EPA may collect, review, and disseminate those final reports that can serve as models for future projects.

**3) Quality Assurance Project Plans (QAPP)** – Quality assurance is sometimes applicable to assistance projects (see 40 CFR 30.54 and 40 CFR 31.45). Quality assurance requirements apply to the collection of environmental data. Environmental data are any measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Environmental data include information collected directly from measurements, produced from models, and compiled from other sources, such as databases or literature. Once the award is made, if a Quality Assurance Project Plan is required for the project, the applicant will have to draft a QAPP prior to beginning work on the project. You must reserve time and financial resources in the beginning of your project in order to prepare your QAPP and include the cost for developing your QAPP in your Detailed Budget. Selected applicants cannot begin data collection until EPA approves the QAPP.

## D. COMPETITION DISPUTE RESOLUTION

Any applicant deemed ineligible as a result of an application that did not meet the conditions required under the Threshold Eligibility Criteria (see Section III. B and Section V. A. 1.) will be notified of the reason for ineligibility no later than 15 calendar days from the date of completion of the Threshold Eligibility Review. The applicant will have **15 calendar** days from the date of the notification to request a debriefing on the decision. Responses can be sent via e-mail, postal, or courier but must be dated within the **15 calendar** day period for dispute resolution.

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at http://www.epa.gov/ogd/competition/resolution.htm.
Copies of these procedures may also be requested by contacting Sheritta Woodruff at (202) 564-1771 or ej_small_grants@epa.gov

## E. DATA ACCESS AND INFORMATION RELEASE

The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that are (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data is requested by the public, the EPA must ask for it, and the grantee must submit it, in accordance with A-110 and EPA regulations at 40 C.F.R. 30.36.

## F. NON-PROFIT AWARD ADMINISTRATIVE CAPABILITY

Non-profit applicants that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards (http://www.epa.gov/ogd/grants/award/5700_8.pdf). In addition, non-profit applicants that qualify for funding, depending on the size of the award, may be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of EPA Order 5700.8.

## G. UNLIQUIDATED OBLIGATIONS

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

## H. WEBSITE REFERENCES IN SOLICITATIONS

Any non-federal websites or website links included in this solicitation are provided for proposal preparation and/or informational purposes only. U.S. EPA does not endorse any of these entities or their services. In addition, EPA does not guarantee that any linked, external websites referenced in this solicitation comply with Section 508 (Accessibility Requirements) of the Rehabilitation Act.

# SECTION VII – AGENCY CONTACTS

For further information about this grant program, please contact the following:

| Courier/Delivered Address | U.S. Postal Service Address |
|---|---|
| Sheritta Woodruff<br>U.S. EPA/Office of Environmental Justice<br>1200 Pennsylvania Avenue NW, Room 2224H<br>Washington, DC 20004<br><br>Phone: 202-564-1771<br>E-mail: ej_small_grants@epa.gov | Sheritta Woodruff<br>U.S. EPA/Office of Environmental Justice<br>Mail Code 2201A<br>Washington, DC 20460<br><br>Phone: 202-564-1771<br>E-mail: ej_small_grants@epa.gov |

The names below reflect the contact person in each region and the states for which the region serves.

| Region | Contact Information |
|---|---|
| **Region I:**<br><br>Connecticut<br>Maine<br>Massachusetts<br>New Hampshire<br>Rhode Island<br>Vermont | USEPA Region 1 (RAA)<br>One Congress Street - 11th Floor<br>Boston, MA 02203-0001<br><br>**Primary Contact:**<br>Heather Ross<br>(617) 918-1073<br>ross.heather@epa.gov |
| **Region 2:**<br><br>New Jersey<br>New York<br>Puerto Rico<br>U.S. Virgin Islands | USEPA Region 2<br>290 Broadway, 26th Floor<br>New York, NY 1007<br><br>**Primary Contact:**<br>Terry Wesley<br>(212) 637-5027<br>wesley.terry@epa.gov<br><br>**Secondary Contact:**<br>Tasha Frazier<br>(212) 637-3861<br>frazier.tasha@epa.gov |
| **Region 3:**<br><br>Delaware<br>District of Columbia<br>Maryland<br>Pennsylvania<br>Virginia<br>West Virginia | USEPA Region 3 (3DA00)<br>1650 Arch Street<br>Philadelphia, PA 19103-2029<br><br>**Primary Contact:**<br>Reginald Harris<br>(215) 814-2988<br>harris.reggie@epa.gov |

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|---|---|
| **Region 4:**<br><br>Alabama<br>Florida<br>Georgia<br>Kentucky<br>Mississippi<br>North Carolina<br>South Carolina<br>Tennessee | USEPA Region 4<br>61 Forsyth Street<br>Atlanta, GA 30303-8960<br><br>**Primary Contact:**<br>Daphne Wilson<br>(404) 562-9098<br>wilson.daphne@epa.gov<br><br>**Secondary Contact:**<br>Ella Mclendon<br>(404) 562-8316<br>mclendon.ella@epa.gov |
| **Region 5:**<br><br>Illinois<br>Indiana<br>Michigan<br>Minnesota<br>Ohio<br>Wisconsin | USEPA Region 5 (DM7J)<br>77 West Jackson Boulevard<br>Chicago, IL 60604-3507<br><br>**Primary Contact:**<br>Sheritta Woodruff<br>Phone: (202) 564-1771<br>ej_small_grants@epa.gov |
| **Region 6:**<br><br>Arkansas<br>Louisiana<br>New Mexico<br>Oklahoma<br>Texas | USEPA Region 6<br>Fountain Place, 13th Floor<br>1445 Ross Avenue (RA-D)<br>Dallas, TX 75202<br><br>**Primary Contact:**<br>Linda S. Falk<br>(214) 665-8535<br>falk.linda@epa.gov<br><br>**Secondary Contact:**<br>Israel Anderson<br>(214) 665-3138<br>anderson.israel@epa.gov |
| **Region 7:**<br><br>Iowa<br>Kansas<br>Missouri<br>Nebraska | USEPA Region 7<br>901 North 5th Street (RGAD/ECO)<br>Kansas City, KS 66101<br><br>**Primary Contact:**<br>Pamela K. Johnson<br>(913) 551-7480<br>johnson.pamelak@epa.gov<br><br>**Secondary Contact:**<br>Althea Moses<br>(913) 551-7649<br>moses.althea@epa.gov |

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|---|---|
| **Region 8:**<br><br>Colorado<br>Montana<br>North Dakota<br>South Dakota<br>Utah<br>Wyoming | USEPA Region 8 (8ENF-EJ)<br>1595 Wynkoop<br>Denver, CO 80202-2466<br><br>**Primary Contact:**<br>April Nowak<br>(303) 312-6528<br>nowak.april@epa.gov |
| **Region 9:**<br><br>Arizona<br>California<br>Hawaii<br>Nevada<br>American Samoa<br>Guam | USEPA Region 9 CED-1<br>75 Hawthorne Street<br>San Francisco, CA 94105<br><br>**Primary Contact:**<br>La Donna Thomas<br>(415) 972-3375<br>thomas.ladonna@epa.gov<br><br>**Secondary Contact:**<br>Deldi Reyes<br>(415) 972-3795<br>reyes.deldi@epa.gov |
| **Region 10:**<br><br>Alaska<br>Idaho<br>Oregon<br>Washington | USEPA Region 10 (CRE-164)<br>1200 Sixth Avenue<br>Seattle, WA 98101<br><br>**Primary Contact:**<br>Sheryl M. Stohs<br>(206) 553-0250<br>stohs.sheryl@epa.gov<br><br>**Secondary Contact:**<br>Running Grass<br>(206)553-2899<br>Grass.running@epa.gov |

Questions must be submitted in writing via e-mail to ej_small_grants@epa.gov before **January 2, 2013**. Questions and answers will be posted until the closing date of this announcement at the OEJ Grants/Funding webpage. http://www.epa.gov/compliance/environmentaljustice/grants/ej-smgrants.html.

# SECTION VIII – OTHER INFORMATION

**See appendices on following pages**

**APPENDIX A**

# EJSG One-page Threshold Eligibility Form

This form will be used primarily to determine if you meet all the eligibility requirements. You must address the following areas:

1) **Applicant Eligibility.** Incorporated non-profit organizations including, but not limited to, environmental justice networks, faith based organizations and those affiliated with religious institutions; federally recognized tribal governments; or tribal organizations…… □

My organization is located within the same state, territory, commonwealth, or tribe that the proposed project will be located (identify)..... □

In addition, eligible applicants must demonstrate that they have worked directly with the affected community.

The following entities are **INELIGIBLE** to receive a grant. However, we encourage partnerships with these organizations for technical assistance:

- colleges and universities;
- hospitals;
- state and local governments and their entities;
- quasi-governmental entities (e.g., water districts, utilities)*;
- national organizations and chapters of the aforementioned organizations**;
- multi-state organizations;
- non-profit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995; and
- Organizations acting only as "fiscal agents"

2) **Qualified Environmental Statutes.** Below is a list of qualified environmental statutes. You must identify **at least one** of the qualified environmental statutes associated with your project.

- Clean Water Act, Section 104(b) (3) ..... □
- Safe Drinking Water Act, Section 1442(b)(3 ..... □
- Solid Waste Disposal Act, Section 8001(a)..... □
- Clean Air Act, Section 103(b) (3) ..... □
- Toxic Substances Control Act, Section 10(a)..... □
- Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a)..... □
- Marine Protection, Research, and Sanctuaries Act, Section 203 ..... □

**3) Eligible Activities**. The project must carry out eligible activities under one of the above referenced environmental statutes. Explain how the project is tied to the local environmental/public health issue in the affected community (see Section I. C). **Proposed projects must not be used for the purposes of routine program implementation, implementation of routine environmental protection restoration measures, or completion of work which was to have been completed under a prior grant……** □

4) **Required Documents.** Use this checklist to ensure that you have submitted all required documents. You **must** submit all the items below.

- One-Page Threshold Eligibility Form ..... □
- SF-424, Application for Federal Assistance (Form in Appendix B) ..... □
- Key Contacts Form (Form in Appendix C) ..... □
- Workplan (Optional template in Appendix D) ..... □
- Detailed Budget (Optional template and example in Appendices E and F) ..... □
- Performance Measures (Optional template and example in Appendices G and H) ..... □
- Resumes of the PI/PM and Other Key Personnel ..... □
- Quality Assurance Project Plan Questionnaire (Appendix I) ..... □
- Proof of Nonprofit Status ..... □

**APPENDIX B**

OMB Number: 4040-0004
Expiration Date: 03/31/2012

| **Application for Federal Assistance SF-424** | Version 02 | |
|---|---|---|
| *1. Type of Submission:<br>☐ Pre application<br>☐ Application<br>☐ Changed/Corrected Application | *2. Type of Application<br>☐ New<br>☐ Continuation<br>☐ Revision | * If Revision, select appropriate letter(s)<br>*Other (Specify)<br>_____ |
| 3. Date Received: 4. Applicant Identifier: | | |
| 5a. Federal Entity Identifier: | *5b. Federal Award Identifier: | |
| **State Use Only:** | | |
| 6. Date Received by State: | 7. State Application Identifier: | |
| **8. APPLICANT INFORMATION:** | | |
| *a. Legal Name: | | |
| *b. Employer/Taxpayer Identification Number (EIN/TIN): | *c. Organizational DUNS: | |
| **d. Address:** | | |
| *Street 1: _____<br>Street 2: _____<br>*City: _____<br>County: _____<br>*State: _____<br>Province: _____<br>*Country: _____<br>*Zip / Postal Code _____ | | |
| **e. Organizational Unit:** | | |
| Department Name: | Division Name: | |
| **f. Name and contact information of person to be contacted on matters involving this application:** | | |
| Prefix: _____ *First Name: _____<br>Middle Name: _____<br>*Last Name:_____<br>Suffix: _____ | | |
| Title: | | |
| Organizational Affiliation: | | |
| *Telephone Number: | Fax Number: | |
| *Email: | | |

**Application for Federal Assistance SF-424** Version 02

***9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number**:

_____

CFDA Title:

_____

***12 Funding Opportunity Number**:

_____

*Title:

_____

**13. Competition Identification Number**:

_____

Title:

_____

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

***15. Descriptive Title of Applicant's Project**:

**Application for Federal Assistance SF-424** Version 02

**16. Congressional Districts Of:**

*a. Applicant: *b. Program/Project:

**17. Proposed Project**:

*a. Start Date: *b. End Date:

**18. Estimated Funding ($):**

*a. Federal _____

*b. Applicant _____

*c. State _____

*d. Local _____

*e. Other _____

*f. Program Income _____

*g. TOTAL _____

***19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on _____

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E. O. 12372

***20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

☐ Yes ☐ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

☐ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

**Authorized Representative:**

Prefix: _____ *First Name: _____

Middle Name: _____

*Last Name: _____

Suffix: _____

*Title:

| *Telephone Number: | Fax Number: |
|---|---|

* Email:

| *Signature of Authorized Representative: | *Date Signed: |
|---|---|

**Application for Federal Assistance SF-424** Version 02

***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

| Item | Entry: |
|---|---|
| 1. | **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.<br>• Preapplication<br>• Application<br>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. |
| 2. | **Type of Application:** (Required) Select one type of application in accordance with agency instructions.<br>• New – An application that is being submitted to an agency for the first time.<br>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.<br>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.<br>A. Increase Award B. Decrease Award<br>C. Increase Duration D. Decrease Duration<br>E. Other (specify) |
| 3. | **Date Received:** Leave this field blank. This date will be assigned by the Federal agency. |
| 4. | **Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable. |
| 5a | **Federal Entity Identifier:** Enter the number assigned to your organization by the Federal Agency, if any. |
| 5b. | **Federal Award Identifier:** For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions. |
| 6. | **Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable. |
| 7. | **State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable. |
| 8. | **Applicant Information:** Enter the following in accordance with agency instructions:<br><br>**a. Legal Name:** (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.<br>**b. Employer/Taxpayer Number (EIN/TIN):** (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.<br>**c. Organizational DUNS:** (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.<br>**d. Address:** Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).<br>**e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the |

| Item | Entry: |
|---|---|
| 10. | **Name Of Federal Agency:** (Required) Enter the name of the Federal agency from which assistance is being requested with this application. |
| 11. | **Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable. |
| 12. | **Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement. |
| 13. | **Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable. |
| 14. | **Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed. |
| 15. | **Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project. |
| 16. | **Congressional Districts Of:** (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district.<br>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.<br>• If nationwide, i.e. all districts within all states are affected, enter US-all.<br>• If the program/project is outside the US, enter 00-000. |
| 17. | **Proposed Project Start and End Dates:** (Required) Enter the proposed start date and end date of the project. |
| 18. | **Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. |
| 19. | **Is Application Subject to Review by State Under Executive Order 12372 Process?** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the |

| | | | | |
|---|---|---|---|---|
| | assistance activity, if applicable.<br>**f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application. | | | State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State |
| | | | 20. | **Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. 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.<br><br>If yes, include an explanation on the continuation sheet. |
| 9. | Type of Applicant: (Required)<br>Select up to three applicant type(s) in accordance with agency instructions. | | 21. | **Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.<br>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| | A. State Government<br>B. County Government<br>C. City or Township Government<br>D. Special District Government<br>E. Regional Organization<br>F. U.S. Territory or Possession<br>G. Independent School District<br>H. Public/State Controlled Institution of Higher Education<br>I. Indian/Native American Tribal Government (Federally Recognized)<br>J. Indian/Native American Tribal Government (Other than Federally Recognized)<br>K. Indian/Native American Tribally Designated Organization<br>L. Public/Indian Housing Authority | M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)<br>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)<br>O. Private Institution of Higher Education<br>P. Individual<br>Q. For-Profit Organization (Other than Small Business)<br>R. Small Business<br>S. Hispanic-serving Institution<br>T. Historically Black Colleges and Universities (HBCUs)<br>U. Tribally Controlled Colleges and Universities (TCCUs)<br>V. Alaska Native and Native Hawaiian Serving Institutions<br>W. Non-domestic (non-US) Entity<br>X. Other (specify) | | |

## APPENDIX C

Form Approved OMB No: 2030-0020

# KEY CONTACTS FORM

**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: _____
Mail Address: _____
_____
Phone Number: _____

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

Name:_____
Title: _____
Mailing Address: _____
_____
Phone Number: _____
FAX Number: _____
E-Mail Address: _____

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

Name:_____
Title: _____
Mailing Address: _____
_____
Phone Number: _____
FAX Number: _____
E-Mail Address: _____
Web URL: _____

EPA Form 5700-54 (Rev 4-02)

**APPENDIX D**

# EJSG Workplan Template (Optional)

A. **Project Title and Project Purpose Statement (approximately 1/2 page)**
[ADD NARRATIVE HERE]

B. **Environmental and/or Public Health information about the affected community (approximately half page to 1 and one-half pages)**
[ADD NARRATIVE HERE]

C. **Organization's Historical Connection to the Affected Community (approximately 1 page)**
[ADD NARRATIVE HERE]

D. **Project Description (approximately 4 to 5 pages)**
[ADD NARRATIVE HERE]

E. **Organizational Capacity and Programmatic Capability (approximately 1/2 page)**
[ADD NARRATIVE HERE]

F. **Qualifications of the Principal Investigator or Project Manager (PI/PM) (approximately 1 page)**
[ADD NARRATIVE HERE]

G. **Past Performance in Reporting on Outputs and Outcomes (approximately 1/2 page)**

H. **Quality Assurance Project Plan (QAPP) Information (1 to 2 sentences)**
[ADD NARRATIVE HERE]

## APPENDIX E

# EJSG Budget Detail Template (Optional)

| | Description | Total |
|---|---|---|
| Personnel | | |
| Fringe Benefits | | |
| Travel | | |
| Equipment | | |
| Supplies | | |
| Contractual | | |
| Construction | | |
| Other | | |
| | | $25,000 |

## APPENDIX F

# EJSG Detailed Budget Example

| | Description | Total |
|---|---|---|
| Personnel | ▪ Project Manager @ $30,000 annual salary X 10% of time on project = $3,000 per year<br>▪ Outreach worker @ $25,000 annual salary X 20% of time on project = $5,000<br>▪ Community support leader @ $20,000 annual salary X 15% = $3,000 | $11,000 |
| Fringe Benefits | ▪ Project Manager 15% of salary (includes medical, dental, life insurance) = $450 per year<br>▪ Outreach worker 10% of salary (includes medical, dental, life insurance) = $500<br>▪ Community support leader 10% of salary (includes medical, dental, life insurance) = $500 | $1,250 |
| Travel | ▪ Local mileage for Project Manager for partner meetings: 25 miles @ $0.30/mi. X 16 meetings = $120.00<br>▪ Local mileage for Outreach worker for community outreach efforts: 10 miles @ $0.30/mi. X 30 times X 12 months = $1,080<br>▪ Travel to 2 regional seminars: Per diem - $30 per day X 2 days = $60; Airfare = $1,360 | $2,560.00 |
| Equipment (purchase greater than $5,000) | ▪ None | $0 |
| Supplies | ▪ 20 reams of copy paper @ $4.00 for outreach materials = $80<br>▪ Laptop computer for Outreach worker to work off-site on community $1,500<br>▪ Miscellaneous supplies for staff on this project = $1,500 | $3,080 |
| Contractual | ▪ Bookkeeper/Accountant $10/hr @ 3 hrs/week @ 52 weeks = $1,560 | $1,560 |
| Construction | ▪ None | 0 |
| Other | ▪ Sub-grant = $4,050<br>▪ Outreach materials/Postage = $1,500 | $5,550 |
| | | $25,000 |

## Appendix G

# EJSG Logic Model Template for Performance Measures/Milestones

PROJECT TITLE: _____

| | Resources/Inputs | Activities | Outputs | Outcomes |
|---|---|---|---|---|
| **Semi-Annual** **(six months after beginning of project)** | | | | |
| **Annual** | | | | |

## Appendix H

# Sample of Performance Measures/Milestones

## Creating Partnerships to Develop Inter-agency Air Quality Guidance

| | Resources/Inputs | Activities | Outputs | Outcomes |
|---|---|---|---|---|
| **Semi-Annual** **(six months after beginning of project)** | ▪ Staff time<br>▪ In-kind contributions<br>▪ Additional grants<br>▪ Volunteers<br>▪ Partnering Organizations | ▪ Identify potential partners in city, county, state government, public health office, universities to draft and implement air quality guidance<br><br>▪ Partner meetings to discuss how to formulate an interagency air quality guidance | **Developing a comprehensive understanding**<br><br>8 meetings on quarterly basis to formulate air quality guidance<br><br>Draft air quality guidance | **Creating Partnerships**<br><br>Increase # of various stakeholders participating to address issues concerning air quality<br><br>**Educating the Community**<br><br>Increase in # of stakeholders who are informed of the immediate impacts of poor air quality in target community<br><br>Increase in # of residents who participate in the partner meetings |
| **Annual** **(at the end of the project)** | ▪ Staff time<br>▪ In-kind contributions<br>▪ Additional grants<br>▪ Volunteers<br>▪ Partnering Organizations | ▪ Conduct door knocking to solicit resident support and input<br><br>▪ Generate report and brochures on air quality data | **Educating the Community**<br><br>Create one report on the status of air quality, 4 brochures on specific neighborhood data<br><br>Reach 250 residents in community through door knocking<br><br>Disseminate report and brochures to 250 residents | **Educating the Community**<br><br>Increase in # of residents aware of air quality issues in community<br><br>Increase in # of residents actively participating in the project<br><br>Improved air quality |

## APPENDIX I

# Office of Environmental Justice
# Quality Assurance Project Plan Requirement (QAPP)

Check Yes or No for each of the items provided below as it applies to your specific project.

1. Your project will involve the collection of groundwater, soil, sediment, surface water, air, biota or fauna samples for chemical or biological analysis.

Yes No

2. Your project will use existing computer databases containing analytical data or personal information previously collected.

Yes No

3. Your project will use existing historical research pertaining to this project or proposal.

Yes No

4. Your project will implement deed searches for current property or site.

Yes No

5. Your project will conduct medical records search for the population covered in the grant.

Yes No

6. Your project will compile meteorological data to determine weather trends or air mixing trends.

Yes No

7. Your project will use existing statistical studies or will conduct these studies as part of the project.

Yes No

8. Your project will create a new database based on the information gathered.

Yes No

9. Your project will use this information for litigation purposes.

Yes No

10. Your project will use this information to make recommendations on environmental decisions.

Yes No

If you answered **YES** to any of the items listed above, you are **REQUIRED TO SUBMIT** a Quality Assurance Project Plan in accordance with EPA Requirements and an approved QAPP must be in place ***prior*** to the initiation of activities. You will be contacted with information on how to prepare your QAPP. In the meantime you can visit the website http://www.epa.gov/ogd/grants/assurance.htm which provides guidance on what must be submitted for grants/cooperative agreements.

## APPENDIX J

# TIPS ON PREPARING AN ENVIRONMENTAL JUSTICE GRANT APPLICATION

This information is intended to help you put together a competitive proposal for the Environmental Protection Agency's (EPA) Environmental Justice Small Grants Program. *Please read the Application Guidance carefully -- this document is intended to enhance not replace the official guidance.*

- **Target your audience carefully**

Identify a specific group or community to work with to develop a program that will give the highest return for your dollars invested.

- **Build partnerships and alliances**

You are strongly encouraged to enlist project involvement from community groups with similar or related goals and secure their commitment of services and/or dollars. Be sure to document this
by obtaining letter(s) of commitment for your application. Initiate the partnerships early in your planning, since building alliances can take time and effort.

- **Do some homework**

Allow time to review the literature on environmental justice issues both within EPA and the community you work in or with. Find out what materials exist on the subject and the procedures you are planning to include in your work plan. Use this information to back up your project plans or to explain how your group activities are unique and/or creative.

- **Develop a project evaluation technique**

Define as carefully and precisely as possible what you want to achieve with this project and how you will test its success. Ask yourself: “what do you expect to be different once the project is complete?” Outline a plan you will use to measure the success of your activities/project.

- **Develop a timeline or project accomplishment schedule**

List the major tasks that you will complete to meet the goals of the project. Break these broad goals into smaller tasks and lay them out in a schedule over the twelve months of the grant period. Determine and identify in the proposal the total estimated cost for each task. You may estimate this cost by the number of personnel, materials, and other resources you will need to carry out the tasks.

- **Stay within the format**

This makes it easier for the reviewer to read and therefore, understand your work plan. Please refer to the application requirements (pages X-X).

- **Communicate the nature of your project accurately, precisely, and concisely.**

Describe exactly what you propose to do, how you are going to do it, when you are going to do it, who will benefit, and how you will know you are successful. Indicate not only what you propose but what expertise your group has for completing the project (include resumes).

**COMMON STRENGTHS**

- Project proposal developed solidly from within the community
- Broad based community support for a project that has the potential to positively affect local people
- Project identifies established community advisory board or community group who will be involved in the project
- Good partnership with industry, community, and environmental groups. Good coordination with a variety of community groups
- Proposal does a good job of outlining a complex problem and approach to solving it -- does not overlook any major issues or key players
- Clear identification and background description of population to be served
- Proposal identifies specific outputs, target accomplishments, and estimated budgets for each goal, and target dates for completion
- Proposed project builds on existing projects or programs
- The scope of the project can be completed in a funding year
- Proposal clearly describes how the project will achieve the program goals outlined on pages x and x of the application guidance
- Proposal includes innovative ideas and creative thinking about how to motivate and involve youth in the communities where they live
- Proposal includes honest discussion of challenges involved

**COMMON WEAKNESSES**

- Application did not include information specifically requested in the application guidance
- Community members do not appear to be an integral part of the project planning process
- Not specific enough about what EPA funds will be used for
- Applicant is not a non-profit organization (see application guidance page 2)
- Program may be too ambitious for one year
- Project funds conferences or dialogues to discuss EJ issues but does not fund activities that make direct changes in a community
- Immediacy of need is not established
- Methods of evaluating the success of the project unclear

- Failure to mention other groups that applicant will work with or to secure letters of commitment

- Proposal seeks support for developing general environmental program with little mention of environmental justice issues. The link between goals of EPA's environmental justice program and the project is not clearly stated

- Discussion of overall mission and goals of the organization but not enough detail on how the specific project and activities will help achieve the goals

## APPENDIX K

## GUIDANCE ON LOBBYING RESTRICTIONS

The purpose of this guidance is to remind nonprofit organizations, universities, and other non-government recipients of EPA grants2 that, with very limited exceptions, you may not use Federal grant funds or your cost-sharing funds to conduct lobbying activities. The restrictions on lobbying are explained in Office of Management and Budget (OMB) Circular No. A-21, "Cost Principles for Educational Institutions," 61 Fed. Reg. 20880 (May 8, 1996),3 and OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations; 'Lobbying' Revision," 49 Fed. Reg. 18260 (April 27, 1984). As a recipient of EPA funds, you must be aware of and comply with these restrictions.4

Circular A-122 addresses public information service costs that do not relate to lobbying. Attachment B to the Circular, at paragraph 36, makes allowable, with prior approval of the Federal agency, costs associated with pamphlets, news releases and other forms of information services if their purpose is: to inform or instruct individuals, groups or the general public; to interest individuals or groups in participating in a service program of the recipient; or to disseminate the results of sponsored and non-sponsored activities. The general objective of the restrictions is to prohibit the use of appropriated funds for lobbying, publicity, or propaganda purposes designed to support or defeat legislation. The restrictions do not affect the normal sharing of information or lobbying activities conducted with your own funds (so long as they are not used to match the grant funds).

### Unallowable Lobbying Activities

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

(1) Contributions, endorsements, publicity or similar activities intended to influence Federal, State or local elections, referenda, initiatives or similar processes.

(2) Direct and indirect financial or administrative support of political parties, campaigns, political action committees, or other organizations created to influence elections. Recipients may help collect and interpret information. These efforts must be for educational purposes only, however, and cannot involve political party activity or steps to influence an election.

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

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

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

## Exceptions

There are three exceptions to this list of unallowable lobbying activities in Circulars A-21 and A-122. These exceptions do not necessarily make the cost of these activities allowable; they make the costs potentially allowable. Allowability will be determined based on whether the costs in a particular case are reasonable, necessary, and allocable to the grant.
The first exception is for technical and factual (not advocacy) presentation to Congress, a State legislature, member, or staff, on a topic directly related to performance of the grant, in response to a request (not necessarily in writing) from the legislative body or individual. For requests that are not made in writing, recipients should make a note for their files documenting the requests. The information presented must be readily available and deliverable. Costs for travel, hotels, and meals related to the presentation are generally unallowable unless related to testimony at a regularly scheduled Congressional hearing at the written request of the chairperson or ranking minority member of the congressional committee. The second exception is for actions intended to influence State legislation in order to directly reduce the actual cost of performing the Federal grant project or to protect the recipient's authority to perform the project. The exception does not apply to actions intended merely to shift costs from one source to another. For example, in response to Federal funding cutbacks, a Federally-funded recipient lobbies for State funds to replace or reduce the Federal share of project costs for next year. The cost of that lobbying activity would not be allowable because its purpose is not to directly reduce the actual cost of performing the work but merely to shift from Federal funding to State funding. Finally, Circulars A-21 and A-122 allow lobbying costs if they are specifically authorized by law.

## Indirect Cost Rate

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

## Enforcement

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