



# **EPA Grants Management Top 18**

**Noemi Emeric-Ford  
Susan Chiu**

---

# 1. Cooperative Agreement

- **Read the Cooperative Agreement and Amendments & always keep copies in the file and become familiar with:**
  - **Project Description**
  - **Budget & Project Periods**
  - **Funding Amounts**
  - **Grant Number (i.e. BF 96987923)**
  - **EPA Contacts - both the Grants Specialist & Project Officer**

|   |  |  |  |   |
|---|--|--|--|---|
|  <p><b>U.S. ENVIRONMENTAL PROTECTION AGENCY</b></p> <p>Cooperative Agreement</p>  | <b>ASSISTANCE ID NO.</b>                         |  |  | <b>DATE OF AWARD</b><br>09/26/2007  |
|   | <b>PRG</b><br>BF -                               | <b>DOC ID</b><br>99916201  | <b>AMEID#</b><br>- 0                             |   |
|   | <b>TYPE OF ACTION</b><br>New                     |  |  | <b>MAILING DATE</b><br>10/03/2007   |
|   | <b>PAYMENT METHOD:</b><br>Advance                |  |  | <b>ACH#</b><br>pend   |
| <b>RECIPIENT TYPE:</b><br>Municipal   |  | <b>Send Payment Request to:</b><br>Las Vegas Finance Center, Fax (702) 798-2423  |  |   |
| <b>RECIPIENT:</b><br>Clean Up Brownfields Agency<br>1231 East Dirty Avenue<br>Somewhere, CA 93111<br><b>ElI:</b> 94-123456  |  | <b>PAYEE:</b><br>Clean Up Brownfields Agency<br>1231 East Dirty Avenue<br>Somewhere, CA 93111  |  |   |
| <b>PROJECT MANAGER</b><br>Betty Team Leader<br>1231 East Dirty Avenue<br>Somewhere, CA 93111<br><b>E-Mail:</b> bteamlead@cleanupbrownfields.ca.us<br><b>Phone:</b> 559-808-9090   |  | <b>EPA PROJECT OFFICER</b><br>Wallace Woo<br>75 Hawthorne Street, SFD-1<br>San Francisco, CA 94105<br><b>E-Mail:</b> woo.wallace@epamail.epa.gov<br><b>Phone:</b> 415-972-3270 |  | <b>EPA GRAIT SPECIALIST</b><br>Linda Struna<br>Grants Management Office, MTS-7<br><b>E-Mail:</b> Struna.Linda@epamail.epa.gov<br><b>Phone:</b> 415-972-3723 |
| <b>PROJECT TITLE AND DESCRIPTION</b><br>BROWNFIELDS CLEANUP COOPERATIVE AGREEMENTS<br><br>The cooperative agreement will be used to cleanup hazardous substances at the Neglected Brownfields site, which is a former illegal dump site for 100 gallon drums of hazardous waste. This agreement provides full federal funding in the amount of \$200,000. |  |  |  |   |
| <b>BUDGET PERIOD</b><br>10/01/2007 - 11/30/2010   | <b>PROJECT PERIOD</b><br>10/01/2007 - 11/30/2010 | <b>TOTAL BUDGET PERIOD COST</b><br>\$240,000.00  | <b>TOTAL PROJECT PERIOD COST</b><br>\$240,000.00 |   |
| <b>NOTICE OF AWARD</b>  |  |  |  |   |

Body of message

# 1. Cooperative Agreement

## Two types of Terms & Conditions

- 1) **Administrative (general federal requirements)**
- 2) **Programmatic**

**Administrative Conditions** are managed by the Grants Specialist

**Workplan** - serves as a guide and schedule for implementing the work

# 2. Workplan Budget

Not all budget changes require EPA approval (10% or less within existing budget categories is allowed)

| Budget Categories | Project Tasks for Hazardous Substances |                       |                 |                     |                  |
|-------------------|--|-----------------------|-----------------|---------------------|------------------|
|                   | Program Management                     | Community Involvement | Site Inventory  | Phase I<br>Phase II | Total            |
| Personnel         | \$18,000                               |                       |                 |                     | \$18,000         |
| Fringe Benefits   |  |                       |                 |                     | \$0              |
| Travel            | \$3,000                                |                       |                 |                     | \$3,000          |
| Equipment         |  |                       |                 |                     | \$0              |
| Supplies          | \$1,000                                |                       |                 |                     | \$1,000          |
| Contractual       |  | \$6,000               | \$12,000        | \$160,000           | \$178,000        |
| <b>Cost Share</b> |  |                       |                 |                     | <b>20%</b>       |
| <b>Total</b>      | <b>\$22,000</b>                        | <b>\$6,000</b>        | <b>\$12,000</b> | <b>\$160,000</b>    | <b>\$200,000</b> |

## 2. Workplan Budget: Travel & Cost Share

- **Travel** costs can include **travel to**:
  - conduct assessment & cleanup activities
  - host community involvement activities
  - market program and meet interested parties
  - Participate in EPA-sponsored conferences/training
- **Cost Share**: Cleanup and RLF grants only - 20%
- Cost share must be met with **eligible and allowable costs**
- Must be supported by adequate documentation
  - cash, labor, materials, supplies, services
  - non-federal grants (CDBG)
  - remediation costs beyond \$200k cleanup grant and/or RLF loan or subgrant amount

## 2. Workplan Budget: Cost Share

### **Additional Examples:**

- **Cleanup waste disposal fees**
- **Cleanup waste transportation**
- **Site security (fencing, signage)**
- **Dust control**
- **Clearing, demolition (essential for cleanup)**
- **Analytical work (confirmation sampling)**
- **Outreach (notices, meeting space)**
- **Staff grant management time**

# 3. Procurement

- **ALL** contracts with private parties must be competed!
- **However**, agreements with States, local intergovernmental agencies and nonprofits may not have to be competed. These agreements are considered sub-awards (40CFR Part 31.210 OMB Circular A-133 and page 26 of the FY13 Assessment Guidelines).

\***Developing RFPs: Thursday 2:15-3:15 pm**

# 3. Procurement

- Request identification of subcontractors
- **MBE/WBE goals/objectives**
- **Davis Bacon Prevailing Wages**
- Company info along with services provided
- Certifications
- List of key related projects over the past 3 years, in reverse chronology
- References & resumes for key related projects

# 4. Sampling and Analysis Plans

- **Approved Sampling & Analysis Plan (SAP) are required before sampling activities can began**
- **SAP templates should be shared with contractors before submitting to EPA for approval (template incorporates the Quality Assurance Project Plan)**
- **EPA approval timeframe is 4-6 weeks; this can be shorter if a pre-scoping meeting is held before SAP submittal**

**\*Developing QAPP/SAPs: Thursday 1:15-2:15 pm**

# 5. Community Involvement

- EPA grants require keeping the community informed of grant progress
- For cleanups conducted under Cleanup & RLF Grants the **grantee must**:
  - develop site-specific outreach plan
  - provide reasonable notice for participation
  - allow review of remediation plan
  - host public meeting with 30-day comment period
  - Create Administrative record and make available to public (library, town hall, etc.)

# 6. All-Appropriate Inquiry (AAI)

- **All Assessment Grants must conduct AAI compliant Phase I environmental site assessments**
- **Final Rule Effective: **November 1, 2006****
- **Documentation Requirements for AAI:** final rule required the results of an all appropriate inquiries investigation be documented in a **written report**
- Final Rule requires **no specific format, length, or structure of the written report.** However, EPA's suggestions are generally consistent with recommendations published in ASTM E1527-05 Phase I Standard

**\*AAI Phase I & Phase II Overview: Wed 2:15-3:15 pm**

# 6. All-Appropriate Inquiry (AAI)

- Introduction & Site Description
  - Records Review
  - Site Reconnaissance
  - Interviews
  - **Opinion of the Environmental Professional**
  - **Data Gaps**
  - Conclusions
  - References & Appendices
  - **Signature & Qualifications of EP**
  - **Opinion regarding additional appropriate investigations**
-

# 6. All-Appropriate Inquiry (AAI)

- 1) **OPINION** as to whether the inquiry has identified conditions indicative of releases or threatened releases
  - 2) **DATA GAPS** in the information collected that affect the ability of the EP to identify conditions. Must comment on the significance of the data gaps identified
  - 3) **QUALIFICATIONS & SIGNATURE** of the environmental professional (EP)
  - 4) **OPINION regarding additional appropriate investigation**, if the EP(s) have such an opinion
-

Required Checklist for All Phase I Site Assessments Conducted using EPA  
Brownfields Assessment Grant Funds

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

Grant Number: \_\_\_\_\_

Program Manager Name: \_\_\_\_\_  
(Point of Contact)

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

Name / Address of Property Assessed: \_\_\_\_\_

Please indicate that each of the following All Appropriate Inquiries documentation requirements were met for the Phase I assessment conducted at the above listed property:

- An *opinion* as to whether the inquiry has identified conditions indicative of releases or threatened releases of hazardous substances on, at, in, or to the subject property.
- An identification of *data gaps* (as defined in §312.10) in the information collected for the inquiry that affect the ability of the environmental professional to identify conditions indicative of releases or threatened releases of hazardous substances on, at, in, or to the subject property, as well as comments regarding the significance of these data gaps.
- Qualifications and signature* of the environmental professional(s). The environmental professional must place the following statements in the document and sign the document:
  - “[I, We] declare that, to the best of [my, our] professional knowledge and belief, [I, we] meet the definition of Environmental Professional as defined in §312.10 of this part.”
  - “[I, We] have the specific qualifications based on education, training, and experience to assess a property of the nature, history, and setting of the subject property. [I, We] have developed and performed the all appropriate inquiries in conformance with the standards and practices set forth in 40 CFR Part 312.”
- In compliance with §32.31(b), the environmental professional must include in the final report an *opinion regarding additional appropriate investigation*, if the environmental professional has such an opinion.

# AAI Checklist

FY11 Grantees and beyond are required to complete this form and attach to every Phase I completed as a Term & Condition of the grant.

\_\_\_\_\_  
Signature of Grantee Program Manager

\_\_\_\_\_  
Date

Submission of this checklist to EPA does not constitute a determination of CERCLA liability by EPA and does not confer protection from CERCLA liability.

# 7. Site eligibility

- Not all sites are eligible
- Use latest site eligibility checklists to request EPA approval - prior to conducting work.
- Basic general rule – if grantee / loan applicant is responsible for contamination – the site is not eligible
- Petroleum sites have different eligibility criteria than Hazardous substance sites.

# 8. ESA

- **Endangered Species Act** (ESA) requires prior consultation with USFWS or NOAA Fisheries for any listed species
- **ESA** prohibits killing, harming, and harassing of any listed species as well as the protection of any critical habitat

# 9. NHPA

- **National Historic Preservation Act** “may” require consultation with the State Historic Preservation Officer to assess the presence and value of historical & archeological resources in some project areas

\*NHPA What’s involved: Thursday 3:30-4:30 pm

# 9. NHPA

- **NHPA Section 106 Review is a process that applies to EVERY Brownfields project**
- **Act of signing the cooperative agreement is a “federal undertaking”**
- **The public involvement required for NHPA Section 106 is not different from the public involvement required for all brownfields projects**
- **Should host 30-day comment period, if necessary**

# 10. Davis Bacon

- **Davis Bacon Act** of 1931 – ensures fair compensation - prevailing wages must be paid for any construction, repair, or alteration work if greater than \$2,000

**TIP:** include Davis-Bacon requirements in your RFP / RFQ and all contracts - you will need to monitor for compliance

# 10. Davis Bacon

- **Davis Bacon wage rates at:**  
<http://www.access.gpo.gov/davisbacon>  
<http://www.gpo.gov/davisbacon/referencematerial.html#secA>
- Full wage decisions are recommended, but a Project Wage Rate Sheet (**HUD form 4720**) can be prepared for your use & for employee handouts
- All Davis Bacon forms are available through HUD website: search for **HUDCLIPS**

# 10. Davis Bacon

- If necessary, conduct preconstruction meeting to go over Davis Bacon regulations with your contractors
- Provide the Dept of Labor wages poster (**WH-1321**) for the worksite
- HUD also publishes guides to Davis Bacon for States, Tribes and Local Gov and separate one for Contractors
- EPA has 2-page fact sheet located at:

**[www.epa.gov/brownfields](http://www.epa.gov/brownfields)**

# 11. Reporting – Progress Reports

- Quarterly Reports are required to document progress toward achieving project goals & milestones
- Reports are due 30 days after quarter
- **Reporting periods are:**
  - October 1 – December 31
  - January 1 – March 31
  - April 1 – June 30
  - July 1 – September 30
- **Final Report** is due at grant closeout that summarizes grant achievements

# 12. Reporting - ACRES

- **Property name, address, and acreage**
- **Amounts for assessment, cleanup & loans**
- **Site start and completion dates**
- **Redevelopment info for properties**
- **Types of contaminants removed/addressed**
- **Institutional controls**
- **Dollars leveraged**
- **Jobs created**
- *<http://www.epa.gov/brownfields/pubs/acres/index.htm>*

# 13. Payment Form - 190-F-04-001

## U.S. EPA PAYMENT REQUEST

|                 |                            |
|-----------------|----------------------------|
| Recipient Name: | Contact Person:            |
| Fax #:          | Phone #:<br>Email address: |

| EFT #                            | Request #   | Cash on Hand: \$ |                          |                           |
|----------------------------------|---|------------------|--------------------------|---------------------------|
| Assistance Agreement             | Account No/Activity Code<br>(Superfund Site Specific) | \$ Amount        | Mark<br>(X) if<br>Credit | For EPA Internal Use Only |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
|                                  |   |                  |                          |                           |
| <b>TOTAL AMOUNT REQUESTED \$</b> |   |                  |                          |                           |

I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.

**APPROVALS:** \_\_\_\_\_  
 Recipient Approving Official's Signature

\_\_\_\_\_   
 EPA Certifying Officer Approval

\_\_\_\_\_   
 Date Approved

\_\_\_\_\_   
 Date Approved

\$ \_\_\_\_\_   
**EPA APPROVED AMOUNT**  
 For EPA Use Only

# 14. FFR (SF 425)

- **The Federal Financial Report (SF 425) was designed to replace the Financial Status Report (SF269) and the Federal Cash Transactions Report (SF272) with one comprehensive financial reporting form.**
- **Federal Financial Report (SF-425) is due annually and Grantees have 90 days to submit**
- **Final Federal Financial Report is due no later than 90 after your grant expires.**
- **Form 425 should be submitted to:**
  - Las Vegas Finance Center**
  - Attn: Anna Woods**
  - P.O. Box 98515**
  - Las Vegas, NV 89193**
  - Phone (702) 798-2496**
  - Fax: (702)798-2423**

# FEDERAL FINANCIAL REPORT

(Follow form instructions)

|  |         |  |   |  |       |
|--|---------|--|---|--|-------|
| 1. Federal Agency and Organizational Element to Which Report is Submitted<br><br><p style="text-align: center;"><b>United States Environmental Protection Agency</b></p> |         | 2. Federal Grant or Other Identifying Number Assigned by Federal Agency<br>(To report multiple grants, use FFR Attachment) |   | Page   | of    |
|  |         |  |   | 1  | pages |
| 3. Recipient Organization (Name and complete address including Zip code)   |         |  |   |  |       |
| 4a. DUNS Number  | 4b. EIN | 5. Recipient Account Number or Identifying Number<br>(To report multiple grants, use FFR Attachment)                       | 6. Report Type<br><input type="checkbox"/> Quarterly<br><input type="checkbox"/> Semi-Annual<br><input type="checkbox"/> Annual<br><input type="checkbox"/> Final | 7. Basis of Accounting<br><br><input type="checkbox"/> Cash <input type="checkbox"/> Accrual |       |
| 8. Project/Grant Period<br>From: (Month, Day, Year)  |         | To: (Month, Day, Year)   | 9. Reporting Period End Date<br>(Month, Day, Year)  |  |       |
| 10. Transactions   |         |  |   | Cumulative   |       |
| (Use lines a-c for single or multiple grant reporting)   |         |  |   |  |       |
| Federal Cash (To report multiple grants, also use FFR Attachment):   |         |  |   |  |       |
| a. Cash Receipts   |         |  |   |  |       |
| b. Cash Disbursements  |         |  |   |  |       |
| c. Cash on Hand (line a minus b)   |         |  |   |  |       |
| (Use lines d-o for single grant reporting)   |         |  |   |  |       |
| Federal Expenditures and Unobligated Balance:  |         |  |   |  |       |
| d. Total Federal funds authorized  |         |  |   |  |       |
| e. Federal share of expenditures   |         |  |   |  |       |
| f. Federal share of unliquidated obligations   |         |  |   |  |       |
| g. Total Federal share (sum of lines e and f)  |         |  |   |  |       |
| h. Unobligated balance of Federal funds (line d minus g)   |         |  |   |  |       |



| Recipient Share:   |         |         |             |            |  |                                  |                  |
|--|---------|---------|-------------|------------|--|----------------------------------|------------------|
| i. Total recipient share required  |         |         |             |            |  |                                  |                  |
| j. Recipient share of expenditures   |         |         |             |            |  |                                  |                  |
| k. Remaining recipient share to be provided (line i minus j)   |         |         |             |            |  |                                  |                  |
| Program Income:  |         |         |             |            |  |                                  |                  |
| l. Total Federal program income earned   |         |         |             |            |  | don't record your drawdowns here |                  |
| m. Program income expended in accordance with the deduction alternative  |         |         |             |            |  |                                  |                  |
| n. Program income expended in accordance with the addition alternative   |         |         |             |            |  |                                  |                  |
| o. Unexpended program income (line l minus line m or line n)   |         |         |             |            |  |                                  |                  |
| 11. Indirect Expense   | a. Type | b. Rate | Period From | Period To  | d. Base  | e. Amount Charged                | f. Federal Share |
|  |         |         |             |            |  |                                  | not allowed      |
|  |         |         |             | g. Totals: |  |                                  |                  |
| 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:   |         |         |             |            |  |                                  |                  |
|  |         |         |             |            |  |                                  |                  |
| 13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001) |         |         |             |            |  |                                  |                  |
| a. Typed or Printed Name and Title of Authorized Certifying Official   |         |         |             |            | c. Telephone (Area code, number and extension) |                                  |                  |
|  |         |         |             |            | d. Email address                               |                                  |                  |
| b. Signature of Authorized Certifying Official   |         |         |             |            | e. Date Report Submitted (Month, Day, Year)    |                                  |                  |
|  |         |         |             |            | 14. Agency use only:                           |                                  |                  |
|  |         |         |             |            | Federal Share Calculation                      |                                  |                  |

Standard Form 425  
 OMB Approval Number: 0348-0061  
 Expiration Date: 10/31/2011

**Paperwork Burden Statement**

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours 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 (0348-0060), Washington, DC 20503.

# 15. MBE/WBE forms

- ✓ Assures that minority business enterprises (MBE) and woman business enterprises (WBE) are given the opportunity to participate in contract and procurement for supplies, construction, equipment and services under any EPA grant or cooperative agreement.

**Must be submitted annually except RLF grantees must submit semi-annually**

# 16. SAM (System for Award Management)

- SAM will integrate 8 federal procurement systems and the Catalog of Federal Domestic Assistance into a single new, streamlined system – previous EPA system was CCR
- SAM registration must be active throughout the life of the grant
- CCR username will not work in SAM

# 17. FSRS (Federal Funding Accountability & Transparency Act)

- Grantee Reporting in **[www.fsrs.gov](http://www.fsrs.gov)**
- Report total compensation for 5 most highly compensated executives (ie. officers, managing partners, mgmt positions )
- First-tier (prime) subaward: report names & total compensation of 5 most highly compensated executives (Note: Term “subaward” does not automatically exclude contracts )

# See EPA Region 9 Grants and Funding

[http://www.epa.gov/region9/funding/  
managing.html](http://www.epa.gov/region9/funding/managing.html)

---

# 18. Close out

- **Draw down of grant funds is received**
- **All activities funded by the grant are complete**
- **ACRES & quarterly reports are completed**
- **Final Federal Financial Report SF-425**
- **Final MBE/WBE Report EPA Form 5700-5**
- **Final Progress Report submitted**

# Questions? Contact your... EPA Project Officers

**Carolyn Douglas**

**Glenn Kistner**

**Wally Woo**

**Dierdre Nurre**

**Sara Russell**

**Diane Strassmaier**

**Noemi Emeric-Ford**

**213-244-1821**

---



[www.tabez.org](http://www.tabez.org)

- Tool to assist in writing assessment & cleanup grants
- Developed by Kansas State University via a grant from USEPA

**Site includes:**

- Sample winning applications from 2009
  - A step by step tool to guide you through grant writing process
  - Includes hot links to resources
  - List of acronyms and definitions
-



[▶Logout](#)  
[▶Edit Account](#)  
[▶Contact Us / Feedback](#)

[HOME](#) [GRANT APPLICATIONS](#) [RESOURCES](#) [SEARCH](#) [HELP](#)

### In This Section:

[Home Page](#)  
[About TAB EZ](#)

### Quick Links:

[Sample Grant Applications](#)  
[Tutorial](#)  
[Definitions](#)  
[Acronyms](#)

## Home

[Home](#)

### Welcome to TAB EZ

**Technical Assistance to Brownfields communities (TAB) easy brownfields grant application (EZ) software program**

TAB EZ is a grant writing tool to be used for preparation of EPA brownfields grant proposals. Currently, TAB EZ only addresses **assessment and cleanup** grants; RLF grant proposal outlines may be added at a later date.

### What TAB EZ can do:

TAB EZ provides a framework for your proposal and provides strategies and links to reduce time in writing the proposal.

### What TAB EZ can not do:

TAB EZ can not write a specific and compelling request for Brownfield grant funding for you. It's your proposal and you need to incorporate your ideas and approaches!

### Using this tool is not a substitute for reading the grant guidelines!

While we put a lot of information from the guidelines into TAB EZ, there is also information we did not include. Please read the guidelines at the **EPA brownfields** web page. Also, a copy of the guidelines can be found in TAB EZ under "Resources".

### Register prior to use

While the use of TAB EZ is free, you must be a registered user to prepare a grant application via TAB EZ. Please register by clicking on "Register" in the upper right hand corner of the TAB EZ window.



Archive of TABEZ training:

<http://clu.in.org/live/archive/>

**Contact Info:**

Dr. Sabine Martin (Program Director)

785-532-6474     [smartin1@k-state.edu](mailto:smartin1@k-state.edu)