

United States Environmental Protection Agency

Region 9

Application Kit



Application Checklist for Awards

Include the original and one copy of the following items in your Application Package. (Click on form titles to access forms)

- **Application for Federal Assistance (Form SF 424), with authorized signature**

http://www.epa.gov/ogd/forms/adobe/sf424_v2_508_sec.pdf

NOTE: you can also apply by using: <http://www.grants.gov/> (electronic application)

- **Budget Information (Form SF 424A)**

http://www.epa.gov/ogd/forms/adobe/sf_424_a_sec.pdf

http://www.epa.gov/ogd/forms/adobe/sf424a%20272712_sec.pdf

http://www.epa.gov/ogd/forms/adobe/SF424A_Instructions.pdf



SI Guide-3.pdf

'SI Guide' - provides Sustainability Infrastructure Guide that provides areas to address going green.

- **Budget Detail – Breakdown by Object Class Categories**

<http://www.epa.gov/region9/funding/applying.html>

- **Key People List**

http://www.epa.gov/ogd/forms/adobe/5700-54_sec.pdf

(For Universities, please include the project's Principle Investigator.)

- **Work plan**

This is an outline of required work plan elements as determined by Region 9.

Please contact your assigned EPA Project Officer for details.

- **Current Indirect Cost Rate Negotiation Agreement**
(Submit Rate and Signature Pages, Sections 1 and 3, along with application)

ASSURANCES/CERTIFICATIONS

- **Assurances-Non Construction Programs (Form SF424B), with authorized signature**
(Required for all applicants.)

http://www.epa.gov/ogd/forms/adobe/sf_424b_8_1_11.pdf

- **Pre-award Compliance Review Report for All Applicants Requesting Federal Financial Assistance (EPA Form 4700-4)**, with authorized signature (Required for all applicants.)

http://www.epa.gov/ogd/forms/adobe/4700-4_sec.pdf

- **Certification Regarding Lobbying (Form SF-6600-06)**, with authorized signature (Not required for Tribes. For all other applicants, forms required if the total federal dollar requested is greater than \$100K.)

http://www.epa.gov/ogd/AppKit/form/Lobbying_sec.pdf

- **Disclosure of Lobbying Activities (Form SF-LLL)**, with authorized signature (Not required for Tribes. For all other applicants, forms are required for reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352.

http://www.epa.gov/ogd/AppKit/form/sfillin_sec.pdf

- **Procurement System Certification (EPA Form 5700-48)**, with authorized signature (Required ONLY for recipients of SUPERFUND monies.)

[http://www.epa.gov/region3/grants/pdf/Procurement Certification EPA 5700-48.pdf](http://www.epa.gov/region3/grants/pdf/Procurement_Certification_EPA_5700-48.pdf)

Include Program/Project Director's Email Address on page 1 of SF424 - Acknowledgement of Application receipt will be sent to Program/Project Director listed.

Application for Federal Assistance SF-424

*** 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

*** 2. Type of Application:**

- New
- Continuation
- Revision

*** If Revision, select appropriate letter(s):**

*** Other (Specify)**

*** 3. Date Received:**

4. Applicant Identifier:

Monterey County

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:**

MONTEREY, COUNTY OF

*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

94600524

*** c. Organizational DUNS:**

809121200

d. Address:

*** Street1:**

168 W. ALISAL STREET, 2ND FLOOR

Street2:

*** City:**

SALINAS

County:

MONTEREY

*** State:**

CA

Province:

*** Country:**

USA: UNITED STATES

*** Zip / Postal Code:**

93901-2438

e. Organizational Unit:

Department Name:

RESOURCE MANAGEMENT AGENCY

Division Name:

PUBLIC WORKS

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

*** First Name:**

FLORENCE

Middle Name:

*** Last Name:**

KABWASA-GREEN

Suffix:

Title:

MANAGEMENT ANALYST II

Organizational Affiliation:

*** Telephone Number:**

831-755-4805

Fax Number:

831-755-4958

*** Email:**

kabwasa-greenfa@co.monterey.ca.us

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

United States Environmental Protection Agency

11. Catalog of Federal Domestic Assistance Number:

66.818

CFDA Title:

Brownfields Cleanup Cooperative Agreement (New Project)

*** 12. Funding Opportunity Number:**

EPA-OSWER-OBLR-13-07

* Title:

FY14 Guidelines for Brownfields Cleanup Grants

13. Competition Identification Number:

Not Applicable

Title:

Not Applicable

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

Counties

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

San Lucas Branch Library Site EPA Cleanup Grant (see attached project location map)

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant CA-020

* b. Program/Project CA-020

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date: 10/1/2014

* b. End Date: 9/30/2015

18. Estimated Funding (\$):

* a. Federal \$200,000

* b. Applicant

* c. State

* d. Local

* e. Other \$0

* f. Program Income

* g. TOTAL \$200,000

*** 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 June 30, 2014 .

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.) Applicant Federal Debt Delinquency 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: Mr. * First Name: Paul

Middle Name: H

* Last Name: Greenway

Suffix:

* Title: Assistant Director of Public Works

* Telephone Number: 831-755-4800 Fax Number: 831-755-4958

* Email: greenway@co.monterey.ca.us

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

[Empty text input area for Applicant Federal Debt Delinquency Explanation]

Item:	Entry:
1.	<p>Type of Submission: (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> • Pre-application • Application • 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.	<p>Type of Application: (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation -An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • 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. <p style="margin-left: 40px;">A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)</p>
3.	<p>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</p>
4.	<p>Applicant Identifier: Enter the entity identifier assigned buy the Federal agency, if any, or the applicant’s control number if applicable.</p>
5a.	<p>Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.</p>
5b.	<p>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.</p>
6.	<p>Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.</p>
7.	<p>State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.</p>
8.	<p>Applicant Information: Enter the following in accordance with agency instructions:</p> <ol style="list-style-type: none"> a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. 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

	<p>organization is not in the US, enter 44-4444444.</p> <p>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.</p> <p>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).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, (if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this applicant required), organizational affiliation (if affiliated with an organization other on: Enter the name (First and last name than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> <p>M. Nonprofit</p> <p>N. Nonprofit</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>
10.	<p>Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
11.	<p>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.</p>
12.	<p>Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and</p>

	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. C. Increase Duration D. Decrease Duration E. Other (specify)
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 pre-applications, 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, CA012 for California 12th district, NC-103 for North Carolina's 103rd district. • 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. • If nationwide, i.e. all districts within all states are affected, enter US-all. • 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 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: But may not be limited to; delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
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. 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.)

BUDGET INFORMATION - Non-Construction Programs
SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. EPA		\$	\$	\$ 200,000.00	\$	200,000.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 200,000.00	\$ 0.00	200,000.00

SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ 16,881.00	\$	\$	\$	16,881.00
b. Fringe Benefits	18,396.00				18,396.00
c. Travel					0.00
d. Equipment					0.00
e. Supplies	500.00				500.00
f. Contractual	22,500.00				22,500.00
g. Construction	114,412.00				114,412.00
h. Other	13,176.00				13,176.00
i. Total Direct Charges (sum of 6a-6h)	185,865.00		0.00	0.00	185,865.00
j. Indirect Charges	14,135.00				14,135.00
k. TOTALS (sum of 6i and 6j)	\$ 200,000.00	\$	\$ 0.00	\$ 0.00	200,000.00

7. Program Income	\$	\$	\$	\$	\$	0.00
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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. EPA	\$	\$	\$	\$	0.00
9. CDBG					0.00
10.					0.00
11.					0.00
12. TOTAL (sum of lines 8-11)	\$	0.00 \$	0.00 \$	0.00 \$	0.00

SECTION D - FORECASTED CASH NEEDS					
(a) Grant Program	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	13. Federal	\$ 200,000.00	\$ 20,000.00	\$ 180,000.00	\$
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 200,000.00	\$ 20,000.00	\$ 180,000.00	\$ 0.00	\$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. EPA	\$ 20,000.00	\$ 180,000.00	\$	\$
17. CDBG				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 20,000.00	\$ 180,000.00	\$ 0.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges: \$185,865	22. Indirect Charges: \$14,135
23. Remarks: Indirect rate is 40%.	

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send 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 (0348-0044), Washington, DC 20503.

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

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

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

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

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

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

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

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

Line 5 - Show the totals for all columns used.

Section B Budget Categories

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

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

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

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

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

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

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

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

County of Monterey
 US EPA Brownfields Clean UP Grant
 San Lucas Branch Library Site Remediation
 BUDGET DETAIL

a. PERSONNEL				
Position	Number	Salary	Work Years (percent)	Amount
Management Analyst II	1	81078.4	6.86%	\$ 5,566.00
Management Analyst III	1	91744.64	0.98%	\$ 900.00
Senior Secretary	1	50745.76	1.30%	\$ 659.00
Resident Engineer	1	79896.96	12.21%	\$ 9,756.00
a. Personnel Total	4			\$ 16,881.00

b. Fringe Benefits				
BASE (Personnel)				\$ 16,881.00
RATE				108.97%
b. Fringe Benefits Total				\$ 18,396.00

C. Travel		
Travel Expense		Total
Not Applicable	\$	-
C. Travel Total	\$	-

d. Equipment			
Item	Number	Cost per Unit	Total
Not Applicable			\$ -
			\$ -
d. Equipment Total			\$ -

e. Supplies			
Item	Number	Cost per Unit	Total
Office and printing supplies for community outreach	Multiple	Various	\$ 500.00
			\$ -
e. Supplies Total			\$ 500.00

f. Contractual		
Item	Procurement method	Total
Environmental Consultant	Competitively Master Agreement	\$ 20,000.00
Architect Verification	Competitively Bid Master Agreement	\$ 2,500.00
		\$ -
f. Contractual Total		\$ 22,500.00

g. Construction		
Item	Procurement method	Total
Remediation Contractor	Job Order Contract competitively bid	\$ 114,412.00
g. Construction Total		\$ 114,412.00

h. Other

Item	Number	Cost per Unit	Total
Permits & Agency Coordination Fees		Agency Fee/Small	\$ 5,026.00
Community Outreach Advertising		Small Purchase	\$ 1,000.00
Environmental Health Bureau Oversight Fee		Agency Fee/Small	\$ 7,150.00
			\$ -
			\$ -
e. Supplies Total			\$ 13,176.00

i. Total Direct Costs	\$ 185,865.00
j. Indirect Costs	\$ 14,135.00
k. Total Proposed Costs	\$ 200,000.00
Federal Funds Requested (EPA)	\$ 200,000.00
Federal Share of Total Proposed Costs	100%



KEY CONTACTS FORM

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

Name: Paul H. Greenway
 Title: Assistant Director of Public Works
 Complete Address: County of Monterey, Resource Management Agency, Dept. of Public Works
 168 W. Alisal St., 2nd Flr., Salinas, CA 93901
 Phone Number: 831-755-4800

Payee: *Individual authorized to accept payments.*

Name: Shawne Ellerbee
 Title: Finance Manager III
 Mail Address: County of Monterey, Resource Management Agency, 168 W. Alisal St., 2nd Flr., Salinas, CA 93901
 Phone Number: 831-755-4794

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

Name: Crystal Corpuz
 Title: Accounting Technician
 Mailing Address: County of Monterey, Resource Management Agency, 168 W. Alisal St., 2nd Flr., Salinas, CA 93901
 Phone Number: 831-755-4919
 FAX Number: 831-755-4958
 E-Mail Address: CorpuzC@co.monterey.ca.us

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

Name: Florence Kabwasa-Green
 Title: Management Analyst II
 Mailing Address: County of Monterey, Resource Management Agency, Department of Public Works, 168 W. Alisal St., 2nd Flr., Salinas, CA 93901
 Phone Number: 831-755-4805
 FAX Number: 831-755-4958
 E-Mail Address: kabwasa-greenfa@co.monterey.ca.us
 Web URL: <http://www.in.co.monterey.ca.us/publicworks/>

KEY PEOPLE LIST

Please show street address as well as Post Office Box Number where applicable.

AGENCY/ORGANIZATION DIRECTOR

(Individual who is authorized to sign the assistance agreement application and award acceptance.)

NAME: Paul H. Greenway
TITLE: Assistant Director of Public Works
ADDRESS: County of Monterey, Resource Management Agency, Dept. of Public Works
168 W. Alisal St., 2nd Flr., Salinas, CA 93901
TELEPHONE: 831-755-4800 FAX: 831-755-4958
EMAIL ADDRESS: greenwayp@co.monterey.ca.us

PROGRAM/PROJECT DIRECTOR

(Technical program director or person responsible for the project as a contact person in Block #5 of the application.)

NAME: Florence Kabwasa-Green
TITLE: Management Analyst II
ADDRESS: County of Monterey, Resource Management Agency, Department of Public Works
168 W. Alisal St., 2nd Flr., Salinas, CA 93901
TELEPHONE: 831-755-4805 FAX: 831-755-4958
EMAIL ADDRESS: kabwasa-greenfa@co.monterey.ca.us

FINANCE DIRECTOR

(Individual responsible for maintaining the accounting and financial management system supporting expenditures, preparing the financial reports, etc.)

NAME: Shawne Ellerbee
TITLE: Finance Manager III
ADDRESS: County of Monterey, Resource Management Agency
168 W. Alisal St., 2nd Flr., Salinas, CA 93901
TELEPHONE: 831-755-4794 FAX: 831-755-4958
EMAIL ADDRESS: EllerbeeS@co.monterey.ca.us

****An Email Acknowledgement of Application receipt will be sent to Program/Project Director listed on page 1 of Form SF424****

**Brownfields Cleanup Grant
Work Plan
San Lucas Branch Library Site Remediation**

A. Recipient Title

County of Monterey, Resource Management Agency, Department of Public Works

B. Background

The San Lucas Branch Library Site (Site) is owned by the County of Monterey and is approximately 0.26 acre in size. The Site was developed with two single-story, wood framed buildings formerly used as the San Lucas Library (54692 Teresa Street) and an office for the San Lucas County Water District (54694 Teresa Street). The site is currently unused and the buildings have been removed.

The project goal is to prepare the Site for future reuse as a library by remediation of environmental impacts in accordance with recommendations in the ABCA report prepared by Weston Solutions and regulatory guidelines and mitigate potential chemical hazards to construction workers and users of the library.

The Site is enrolled in the County Environmental Health Bureau (EHB) Site Mitigation Program. The Site Mitigation Program regulates sites that may pose a hazard to public health, safety and the environment. Therefore, the investigation and cleanup of these contaminated sites will be conducted under the supervision of the County Hazardous Materials Branch. The preferred cleanup alternative No. 3 discussed in the Analysis of Brownfields Cleanup Alternatives (ABCA) would involve the physical removal of contaminated soil. The upper one foot of lead impacted soil from LBP would be excavated from the majority of the Site. The lead impacted soil would be stockpiled onsite pending laboratory analysis for waste classification. Following the disposal of the lead soil stockpile, the concrete pad would be demolished and the upper 2 to 3 feet of TPH and PAH impacted soil would be excavated from the former auto repair shop area. Verification sampling would be conducted to ensure the remaining contaminants are below site action levels.

C. Goals and Objectives

a. EPA Strategic Plan

This project supports EPA's Strategic Plan and GPRA Goal 3: Cleaning Up Communities and Advancing Sustainable Development, Objective 3.1 Promote Sustainable and Livable Communities.

Outputs: workplan deliverables, property profile forms

Outcomes: number of cleanups completed, number of acres ready for reuse, dollars leveraged, number of jobs created

b. Project Goals

The goal of the San Lucas Site cleanup is to complete all site remediation tasks outlined for Alternative 3 of the ABCA and obtain a Closure Letter from the County of Monterey Environmental Health Bureau's Site Remediation Program. The US EPA Cleanup grant award of \$200,000 will be used towards Site Remediation Project Tasks including permits, community outreach, procurement/grant management, reporting, contractor costs, and clean-up oversight tasks. There is no cost share waiver required since the County of Monterey was granted a cost share waiver.

D. Tasks

Task 1 - Permits

a. Task Description

Permits: County staff will coordinate required reviews and concurrences from regulatory and/or other agencies including obtaining National Environmental Policy Act (NEPA) and State Historic Preservation Office (SHPO) Clearance.

Permits Estimated Cost: \$10,067. Includes: 40 hours @ \$126/hour = \$5041; estimated permit fees of \$5,026

b. Task Budget

Cost:	Brownfields Grant	\$ 10,067
	Total	\$ 10,067

c. Schedule

Task Start Date: 10/1/2014 Task Completion Date: 1/30/2015

d. Deliverables

NEPA and SHPO Package and Concurrence Letters.

Task 2 - Project Management & Reporting

a. Task Description

Project Management and Reporting: County Staff will conduct grant reporting and management, procure and manage contracts for services and supplies, insurance, construction management services, environmental consultant services, architectural services, temporary fencing services, and remediation contractor.

Regular Reporting: The County will comply with reporting requirements in the grant conditions and project specific reporting need as required. The County will provide regular reports to EPA including Quarterly Progress Reports, MBE/WBE Reports and Annual Financial Status Reports. Quarterly Reports will generally follow the format of the approved workplan. The Quarterly Report should will include a description of cumulative expenditures to date by project task and budget category. The quarterly budget summaries will include information on cost share. Property Profile Forms (PPF), OMB NO. 2050-0192, will be submitted initially with the application. An updated PPF is required each quarter thereafter. Electronic submission of quarterly reports and PPF is highly encouraged. The County will be responsible for inputting project and PPF data into the USEPA Assessment, Cleanup & Redevelopment Exchange System (ACRES) database. This database will be viewed and updated as required by Project Officer.

Final Cleanup Activities Report/Final Summary Report: The County will prepare a final report describing the initial goals and objectives of the brownfields grant, the cleanup activities performed under this grant and a discussion of significant deviations from the original cleanup plans. This report will include supporting documents such as: confirmation sampling results, copies of manifests, letters confirming cleanup completion from oversight agencies, field photographs, and contractor progress reports. The report will also describe the future redevelopment of the site, resources leveraged during and after the project (other than the EPA grant), and how they were used. The final report will include a property profile (OMB NO. 2050-0192)

Project Closeout: The County will comply with closeout requirements in the Terms and Conditions of the Cooperative Agreement.

b. Task Budget

Project Management Estimated Cost: \$12,155 Includes: 60 hours @ 126/hour = \$7561; 20 hours @ \$125/hour=\$2506; 27 hours @\$77/hour=\$2088.

Cost: Brownfields Grant	\$ 12,155
Total	\$ 12,155

c. Schedule

Task Start Date: 10/1/2014 Task Completion Date: 9/30/2015

d. Deliverables

- Grant management and reporting documents including:
Project Deliverables due to the Project Officer including:
 - Quarterly progress reports
 - Property Profile Forms
 - Final Cleanup Activities Report
 - Field Reports, if applicable

Administrative Deliverables due to the Grant Specialist including:

- Annual Financial Status Reports (FSR)
 - Final FSR
 - MBE/WBE Utilization Report
- Contractor and consultant agreements

Task 3- Community Outreach

a. Task Description

Community Outreach: Community Outreach will be coordinated by County of Monterey Public Works staff with assistance from the County of Monterey's Free Libraries Department, Community stakeholder groups and the County of Monterey's Public Information Officer. Staff hours will cover up to three community meetings to be held at the beginning, mid-point (if needed) and end of the site remediation work. Meetings will be held at the San Lucas Union School District Cafeteria in collaboration with the County Library staff and the Environmental Health Bureau. All meetings will provide Spanish translation services. Public Works staff will work with the County Public Information officer to develop fact sheets and press release information for dissemination through the County's web site, local media, the San Lucas Union School District and through the Library's weekly bookmobile service. Quarterly project status information will also be provided through the County of Monterey's Capital Improvement and Budget Committee meetings.

b. Task Budget

Estimated Cost: \$6,540. Includes: 40 hours @ \$126/hour = \$5040 ; \$500 supplies and \$1,000 for printing and advertisement.

Cost: Brownfields Grant	\$ 6540
Total	\$ 6540

c. Schedule

Task Start Date: 10/1/2014 Task Completion Date: 9/30/2015

d. Deliverables:

Community meeting notes and outreach materials.

Task 4 – Oversight and Site Cleanup Plan and Related Documents

a. Task Description

The Site is enrolled in the County Environmental Health Bureau (EHB) Site Mitigation Program. County Environmental Health Bureau staff will conduct project oversight. Output: Review and approval of remediation work plan, issuance of permit, oversight of remediation and confirmation sampling, review and approval of final report, issuance of clearance letter. Estimated Cost: \$7,150.00 per EHB estimate.

County in-house construction management section (Resident Engineer) will provide construction management services including: Conducting pre-construction planning and review of plans and specifications and pre-construction meeting; conducting on-site inspections and review of submittals from contractors for compliance with laws and regulations applicable to this cleanup which are described in Cleanup Plan description section above. Output: Daily Diaries and weekly reports of inspections and onsite work. Estimated Cost: 254 hours @\$107/day = \$27,176 per Department of Public Works, Construction Management section.

Environmental Consultant will provide environmental support for the excavation and removal of lead and petroleum hydrocarbon impacted soil at the subject property. The Environmental consultant's scope of work will include project management, observation of the removal of impacted soil, collecting and analyzing stockpile and verification soil samples, and providing an environmental report that details the removal of the material and confirmation that impacted soil had been removed below regulatory criteria. The Environmental Contractor will work in close conjunction with the construction manager and excavation company to insure that sampling frequency and analyses conforms to landfill criteria. The Environmental Contractor will also work with the Monterey County Environmental Health Bureau on the confirmation sampling protocol, so that final sampling frequency and analyses conforms to their closure criteria. Output: stockpile sampling, confirmation sampling, lab testing and final report. Estimated Cost: \$20,000 per ABCA cost estimate of \$109.89 Average Billing rate x 182 hours.

Project Architect will provide a construction observation site visit after the completion of the hazardous material remediation and preliminary site grading. The purpose of the meeting will be to observe the site progress, and confirm that the Site has been graded in conformance with the approved Site grading plans, in preparation for the installation of proposed Site improvements. Output: trip report. Estimated Cost: \$2,500.00 per contractor cost estimate.

b. Task Budget

Cost: Brownfields Grant	\$ 56,826.00
Total	\$ 56,826.00

c. Schedule

Task Start Date: 10/1/2014 Task Completion Date: 9/30/2015

d. Deliverables

- State Site Cleanup Workplan
- EPA format SAP (when EPA funds are used)
- Confirmation Sampling Results
- State closure letter / no further action letter

Task 5 - Cleanup Implementation

a. Task Description

Cleanup:

Remediation contractor will implement cleanup work plan described in Alternative #3 of the ABCA report prepared by Weston Solutions. The preferred cleanup alternative discussed in the Analysis of Brownfields Cleanup Alternatives (ABCA) will involve the physical removal of contaminated soil. The upper one foot of lead impacted soil from LBP would be excavated from the majority of the Site. The lead impacted soil would be stockpiled onsite on the existing concrete pad pending laboratory analysis for waste classification. Following the disposal of the lead soil stockpile, the concrete pad would be demolished and the upper 2 to 3 feet of TPH and PAH impacted soil would be excavated from the former auto repair shop area. Verification sampling would be conducted to ensure the remaining contaminants are below site action levels. The current Site structures have been removed from the site. The former septic tank in the central portion of the property is planned to be abandoned in place. The existing trees are to remain at the Site to the extent possible. Because the majority of the Site soil will require removal, the excavation will need to be conducted in two events due to limited space for soil stockpiling. Access to streets and freeways is easy with minimal disruption to the town residents. The Site will be accessed via public roadways. The properties immediately adjoining the Site include a vacant lot on the West that is privately owned, an alley on the North, and public roadways to the East, and South. The County will provide appropriate notification to the adjoining landowner of planned remediation activities and request temporary access to the vacant lot if needed. In addition, the property will be fenced with temporary fencing during clean-up activities to prevent access to the site by residents. Pre-remediation activities including planning, obtaining regulatory/other agency reviews/concurrences, procurement, and permitting activities are estimated to take ninety (90) to one hundred eighty (180) days. Site Remediation work is estimated to take thirty (30) to forty (40) days. This estimate may vary depending on the time of

the year to start construction (rainy weather), regulatory milestone inspections and any unforeseen events.

b. Task Budget

Estimated Cost: \$114,412 per ABCA cost estimate.

Cost: Brownfields Grant \$ 114,412
 Total \$ 114,412

c. Schedule

Task Start Date: 1/1/2015 Task Completion Date: 9/30/2015

d. Deliverables

- Completion of tasks per approved remediation work plan.
- Installation of temporary fencing during site remediation activity.

E. Schedule of Milestones & Deliverables

Fiscal Year	Quarter	Quarterly Report Due	Milestones and Deliverables Due with Quarterly Report	Status
2015	1st	Jan 30th	Coordinate required reviews and concurrences from regulatory and/or other agencies including obtaining National Environmental Policy Act (NEPA) and State Historic Preservation Office (SHPO) Clearance.	
			Procure Environmental Consultant to develop remediation work-plan and provide oversight support	
			Meeting with County Construction Manager, EPA Project Officer, Environmental Health Bureau (EHB) and Environmental consultant to review and finalize remediation work-plan	
			Procure Remediation Contractors using County Job Order Contracting program	
			County Construction Manager conducts pre-construction planning and review of plans and specifications and pre-construction meeting with remediation contractor	
			Meeting with Library Staff and County Information officer to review & finalize Community Outreach Plan	
			Advertise and conduct Community Meeting #1 to inform of upcoming site remediation activities	

			<i>Submit EPA Quarterly Progress Reports, MBE/WBE Reports and Financial Status Reports as required.</i>
2015	2nd	Apr 30th	Notice to Proceed given to Remediation Contractor
			Contractor excavates Upper one foot of lead impacted soil from LBP from the majority of the Site.
			Conduct Laboratory analysis and waste classification of lead impacted soil
			Disposal of the lead soil stockpile
			Demolish concrete pad
			Excavate upper 2 to 3 feet of TPH and PAH impacted soil from the former auto repair shop area.
			Conduct Verification sampling to ensure the remaining contaminants are below site action levels.
			Onsite inspections conducted by EHB, Environmental Consultant and County Construction Manager
			Advertise and conduct Community Meeting #2 (if necessary) to provide status of site remediation activities
			<i>Submit EPA Quarterly Progress Reports, MBE/WBE Reports and Financial Status Reports as required.</i>
2015	3rd	July 30th	Environmental consultant prepares and submits final environmental report
			Environmental Health Bureau reviews and approves final report and issues Closure Letter
			Project Architect conducts inspection of site grading
			Advertise and conduct Community Meeting #3 to provide status of site remediation activities
			<i>Submit EPA Quarterly Progress Reports, MBE/WBE Reports and Financial Status Reports as required.</i>
2015	4th	Oct. 30th	<i>Project Closeout:</i>
			<i>County will comply with closeout requirements in the Terms and Conditions of the Cooperative Agreement.</i>
			<i>County submits EPA Quarterly Progress Reports, MBE/WBE Reports and Financial Status Reports as required.</i>

F. Budget Summary

	TASK	TASK	TASK	TASK	TASK	
	1	2	3	4	5	
	Permits	Project Management & Reporting	Outreach	Oversight & Cleanup Plan	Cleanup	Total
Personnel	\$ 1,590.00	\$ 3,944.00	\$ 1,590.00	\$ 9,757.00	\$ -	\$ 16,881.00
Fringe	\$ 2,009.00	\$ 4,734.00	\$ 2,008.00	\$ 9,645.00	\$ -	\$ 18,396.00
Indirect	\$ 1,442.00	\$ 3,477.00	\$ 1,442.00	\$ 7,774.00		\$ 14,135.00
Travel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Equipment & Fees	\$ 5,026.00	\$ -	\$ 1,000.00	\$ 7,150.00	\$ -	\$ 13,176.00
Supplies	\$ -	\$ -	\$ 500.00	\$ -	\$ -	\$ 500.00
Contractual	\$ -	\$ -	\$ -	\$ 22,500.00	\$ 114,412.00	\$136,912.00
Total Costs	\$ 10,067.00	\$ 12,155.00	\$ 6,540.00	\$ 56,826.00	\$ 114,412.00	\$200,000.00
EPA Total	\$ 10,067.00	\$ 12,155.00	\$ 6,540.00	\$ 56,826.00	\$ 114,412.00	\$200,000.00

G. Green Practices/Measures

A. Overall Objective: To the extent applicable, practicable, and economically feasible, the County will seek to incorporate EPA Region 9 Greening Grants Measures and Practices.

B. Specific Tasks/Activities and Outputs

- **Green Meetings and Community Outreach**
 - To the extent applicable, practicable, and economically feasible, the County will utilize “green meeting” practices including teleconferences, videoconferences, and attending web conferences rather than in-person conferences. The County will report the % of “green meetings” held in lieu of travel.
 - To the extent applicable, practicable, and economically feasible, when offsite meetings are necessary, County staff will seek to use carpools and fuel efficient vehicles. The County will report the % of “carpools and fuel efficient vehicles” held in lieu of travel with single occupancy vehicles and non-fuel efficient vehicles.
 - To the extent applicable, practicable, and economically feasible, the County will purchase outreach materials and supplies that are consistent with the County’s Green Purchasing Policy. The County will report the % of “Green supplies and services” utilized held in lieu of “non-green” supplies and services.
- **Green Procurement**
 - To the extent applicable, practicable, and economically feasible, procurement of goods and services for the Project will comply with the County’s Climate-Friendly Purchasing Policy. (See <http://www.in.co.monterey.ca.us/admin/pdfs/ClimateFriendlyPurchasingPolicy.pdf>)

DEPARTMENT OF TRANSPORTATION

AUDITS AND INVESTIGATIONS

P.O. Box 942874, MS-2
SACRAMENTO, CA 94274-0001
PHONE (916) 323-7111
FAX (916) 323-7123
TTY 711
www.dot.ca.gov



*Flex your power!
Be energy efficient!*

March 18, 2014

Mr. Robert Murdoch
Public Works Director
Monterey County Resource Management Agency, Department of Public Works
168 West Alisal Street, 2nd Floor
Salinas, CA 93901

Dear Mr. Murdoch:

The California Department of Transportation (Caltrans), Audits and Investigations (A&I) received the Monterey County Resource Management Agency, Department of Public Works' (County) Indirect Cost Rate Proposal (ICRP) for fiscal year (FY) 2013/2014, on December 13, 2013, and a final revised ICRP on February 22, 2014. Caltrans found that the ICRP package is in compliance with the submission requirements of Title 2, Code of Federal Regulations Part 225.

The County is authorized to use the ICRP rate of 40.07 percent of total direct salaries and wages and fringe benefits and a fringe benefits rate of 87.09 percent of total salaries and wages for FY 2013/2014 billing and reimbursement purposes. A&I did not audit the ICRP. Therefore, the ICRP may be subject to audit at a later time. Acceptance of the indirect rates is based on the understanding that the County agrees to provide subsequent reimbursement if the rates are later found to have included costs that are unallowable as specified by law, regulation, or the terms and conditions of federal or State awards.

The ICRP submission is accepted as proposed for billing and reimbursement purposes based on the understanding that a carry-forward provision applies and no adjustment will be made to previously approved rates.

Please retain a copy of this letter for your files. If you have any questions, please contact Alice Lee, Audit Manager at (916) 323-7953.

Sincerely,

A handwritten signature in cursive script, appearing to read "Alice Lee".

for ZILAN CHEN, Chief
External Audits - Local Governments
Audits and Investigations

Enclosure

ICAP/ICRP SUBMISSION CERTIFICATION

MONTEREY COUNTY PUBLIC WORKS
INDIRECT COST RATE
FY 2014

The indirect cost rate plan contained herein is for use on grants, contracts and other agreements with the Federal Government and the California Department of Transportation (Department), subject to the provisions in Section II. This rate was prepared by the Monterey County Public Works and accepted by the Department.

SECTION I: Rates

<u>Rate Type*</u>	<u>Effective Period</u>	<u>Rate</u>	<u>Applicable to</u>
Fixed w/carry forward	7/1/13 to 6/30/14	40.07%*	All Programs
Fringe Benefits Rate	7/1/13 to 6/30/14	87.09%**	All Programs

* Base: Total Direct Salaries and Wages plus Fringe Benefits

** Base: Total Salaries & Wages

SECTION II: General Provisions

A. Limitations:

The rate in this Agreement is subject to any statutory or administrative limitations and applies to a given grant, contract, or other agreement only to the extent that funds are available. Acceptance of the rate is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; (4) The information provided by the organization which was used to establish the rate is not later found to be materially incomplete or inaccurate by the Federal Government or the Department. In such situations the rate would be subject to renegotiation at the discretion of the Federal Government or the Department; (5) Prior actual costs used in the calculation of the approved rate are contained in the grantee's Single Audit which was prepared in accordance with OMB A-133. If a Single Audit is not required to be performed, then audited financial statements should be used to support the prior actual costs; and, (6) This rate is based on an estimate of the costs to be incurred during the period.

B. Accounting Changes:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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


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

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

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

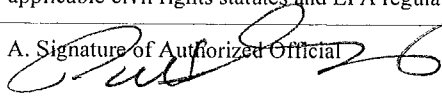
- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application. 2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives. 3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain. 4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency. 5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F). 6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the | <ol style="list-style-type: none"> basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application. 7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. 8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds. |
|--|---|

<p>9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally-assisted construction subagreement.</p> <p>10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.</p> <p>11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).</p>		<p>12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) Related to protecting components or potential components of the national wild and scenic rivers system.</p> <p>13. Will assist the awarding agency in assuring compliance will Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).</p> <p>14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.</p> <p>15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) Pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.</p> <p>16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) Which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.</p> <p>17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."</p> <p>18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.</p>
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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Assistant Director of Public Works
APPLICANT ORGANIZATION County of Monterey, RMA, Dept. of Public Works	DATE SUBMITTED 7-1-2014

**Preaward Compliance Review Report for
All Applicants and Recipients Requesting EPA Financial Assistance**

Note: Read instructions on other side before completing form.

I. Applicant/Recipient (Name, Address, State, Zip Code). County of Monterey, Dept. of Public Works, 168 W. Alisal Street, Salinas, CA 93901	DUNS No. 809121200000
II. Is the applicant currently receiving EPA assistance? No.	
III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.) None	
IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.) None	
V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3)) Not applicable	
VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below. <div style="display: flex; justify-content: space-between;">Yes✓ No</div>	
a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b). <div style="display: flex; justify-content: space-between;">YesNo</div>	
b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies. <div style="display: flex; justify-content: space-between;">YesNo</div>	
VII.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) ✓ Yes No	
a. Do the methods of notice accommodate those with impaired vision or hearing? ✓ Yes No	
b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? ✓ Yes No	
c. Does the notice identify a designated civil rights coordinator? ✓ Yes No	
VIII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a)) Yes	
IX.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166) Yes	
X.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator. Yes. Irma Ramirez-Bough, Equal Opportunity Officer, 168 w. Alisal,	
XI.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures. Yes. http://www.co.monterey.ca.us/eqopp/policies-laws.asp	
For the Applicant/Recipient	
I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.	
A. Signature of Authorized Official 	B. Title of Authorized Official Assistant Director of Public Works
C. Date 7-1-2014	
For the U.S. Environmental Protection Agency	
I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.	
A. Signature of Authorized EPA Official	B. Title of Authorized EPA Official
C. Date	
See ** note on reverse side	

Instructions for EPA FORM 4700-4 (Rev. 04/2009)

General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled; "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

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

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

* Questions VII – XI are for informational use only and will not affect an applicant's grant status. However, applicants should answer all questions on this form. (40 C.F.R. Parts 5 and 7).

** Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

"Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.

EPA Project Control Number

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

Paul H. Greenway, Assistant Director of Public Works

Typed Name & Title of Authorized Representative



Signature and Date of Authorized Representative