

TAG Recipient Manual

Reporting Requirements

This section describes TAG program reporting requirements and how to complete your required quarterly progress reports, financial status reports, final project report, federal cash transaction reports, and minority-owned or women-owned business enterprise utilization reports. The reporting requirements are described in Section 35.4170 of the October 2000 TAG rule, which is available at <http://www.epa.gov/superfund/community/tag/resource.htm>.

When your group receives a TAG, you are required to provide periodic reports and other information, including copies of draft contracts and your technical advisor's final products, to your EPA project officer/regional TAG coordinator. You also are required to comply with all reporting requirements set forth in the terms and conditions of your TAG award agreement. The Summary of Required Reports table on the next page provides a list and brief description of all the required reports or documents. All required reports must be submitted to EPA by your TAG group's legally authorized representative. More detailed information about each report is presented throughout this section. Step-by-step instructions for completing reports are provided in 3.4 of Section 3, Reporting Requirements. Samples of completed forms, using a fictitious TAG recipient, also are provided.

3.1 Required Progress, Financial, and Project Reports

Quarterly Progress Report

To keep EPA informed of TAG activities, you must submit a quarterly progress report no later than 45 days after the end of each calendar quarter. Each of these progress reports must describe the progress you have made on your approved schedule, budget, TAG project milestones, and Environmental Results outputs and outcomes. (Beginning in 2006, TAG groups are required to specify in their applications anticipated outputs and outcomes tied to specific "environmental results" based on the U.S. EPA's strategic plan, and to report on progress toward achieving these outputs and outcomes in required progress reports. If you did not address environmental results in your most recent TAG application, your quarterly report will indicate progress toward TAG project milestones only. See fact sheet on *Making Sure Your TAG Gets Environmental Results* at <http://www.epa.gov/superfund/community/tag/resource.htm>). Any special problems encountered must be explained. You should list activities anticipated during the next quarter. Attach to the report copies of any final documents produced by your group or your technical advisors. These include technical reports or newsletters.

Progress reports need not be any longer than one or two pages (see sample on page 3-7). A narrative format has been used in the sample, but you may choose to develop a chart to present the same information.

Annual and Final Financial Status Report

A financial status report (Standard Form 269A-Short Form) must be submitted to EPA every year, within 90 days after the anniversary of your TAG award. This report details your expenditures for the past year. It is the officially certified report for your group for that year. You also must submit a final Financial Status Report within 90 days of the end of the project period or termination of your technical assistance project. By the time you file your final financial status report, you should have made all payments to your contractors. See page 3-10 for a sample financial status report.

You must submit a progress report for each calendar quarter. It may be helpful to record your TAG group's activities on a desk calendar. You can review the calendar when you need to prepare a progress report.

Summary of Required Reports

| Report or Document | Required Information | Frequency and Timing |
|---|---|---|
| <i>Financial and Progress Reports</i> | | |
| Quarterly Progress Report | <ul style="list-style-type: none"> • Full description, in chart or narrative format, of the progress your group made in relation to your approved: <ul style="list-style-type: none"> » schedule, » budget, » TAG project milestones, and » progress toward meeting Environmental Results outputs and outcomes. • Explanation of any special problems you encountered; and • Explanation of how problems were resolved. | Quarterly—Within 45 days after the end of each calendar quarter. May 15 (for Jan. - Mar.) August 15 (for April - June) November 15 (for July - Sept.) February 15 (for Oct. - Dec.) |
| Financial Status Report (SF 269A) | <ul style="list-style-type: none"> • List of project expenditures; and • Status of remaining TAG funds after these expenditures. | Annually—Within 90 days after the anniversary of your TAG award. The final financial status report is due within 90 days after the end of your TAG funding period. |
| Final Project Report | <ul style="list-style-type: none"> • Description of your project goals and objectives; • List of activities done to achieve goals and objectives; • Explanation of difficulties encountered; • Copies of technical advisor’s work products not submitted previously; and • Description of funds spent. | The final project report is due within 90 days after the end of the your TAG project. |
| <i>Other Required Reports</i> | | |
| Federal Cash Transaction Report (SF 272). <i>May be required for TAG recipients that receive reimbursement payments electronically, if specified in your TAG award agreement.</i> | <ul style="list-style-type: none"> • Amount of funds electronically transferred to your group’s bank account; and • How those funds were spent. | Semiannually—Within 15 working days after the end of each semi-annual period. July 22 (for period ending June 30) January 22 (for period ending December 31) |

Summary of Required Reports

| Report or Document | Required Information | Frequency and Timing |
|---|---|---|
| <i>Other Required Reports</i> | | |
| MBE/WBE Utilization (EPA Form 5700-52A) | <ul style="list-style-type: none"> Whether your group contracted with a minority-owned business enterprise (MBE) or a woman-owned business enterprise (WBE) in the past federal fiscal year (The federal fiscal year begins October 1 of one year and ends September 30 of the following year, so the reporting period for fiscal year 2007 will be from October 1, 2006 through September 30, 2007); The value of the contract, if any; and The percentage of total project dollars spent on minority-owned business enterprises or woman-owned business enterprises. | Annually— Even if no contracts were signed or other procurements made—by October 30 of each year. |
| <i>TAG Documents</i> | | |
| Draft Contracts and Amendments | <ul style="list-style-type: none"> Copy of any contracts or contract amendments valued at \$1,000 or more. | Prior to signing a contract or amendment. |
| Reports Prepared by Technical Advisors | <ul style="list-style-type: none"> Final versions of all reports prepared. | Quarterly (to be included in your quarterly progress report) |
| Documents Required by TAG Award Agreement | <ul style="list-style-type: none"> Copy of any document required by the terms and conditions of your TAG award agreement. | According to the schedule included in the TAG award agreement. |

Final Project Report

When your TAG ends, all work, including work performed by technical advisors and other contractors, should have been completed and copies of all final work products should have been sent to EPA. Within 90 days after your TAG ends, you must submit a final project report to your EPA project officer/regional TAG coordinator. The final project report must contain a narrative description of all project activities over the entire period of the grant and a description of your group's achievements with respect to the project's objectives. The various reports that you submitted to EPA throughout your TAG project will be a good source of information to use in preparing your final project report. (You will find a sample table of contents for a final project report on page 3-11. You may use another format if you prefer.)

Your group's final project report is due to EPA 90 days after the end of your TAG project period.

3.2 Other Required Reports

Disadvantaged Business Enterprise Reports

EPA requires that you make an effort to solicit and consider proposals from small business enterprises (SBEs), minority-owned business enterprises (MBEs), and woman-owned business enter-

prises (WBEs) whenever your TAG group uses TAG funds to contract for services (for example, when you contract with a technical advisor or grant administrator). However, you are required to report only on the minority owned business enterprise and woman-owned business enterprise activities. See 4.2 in *Section 4, Procurement—Using TAG Funds*, for information about the specific steps you are required to take. Not only do you need to take positive steps to solicit and consider proposals from small, minority-owned, and woman-owned businesses, but you also must keep a written record of these efforts in your files. These records should include:

- The list of small, minority-owned, and woman-owned businesses and other organizations where solicitations were sent for technical advisors and/or grant administrators;
- Copies of notices, advertisements, or articles in newspapers, web sites, and other outlets used to advertise solicitations to small, minority-owned, and woman-owned businesses; and
- Copies of letters, emails, phone logs, or other records of contacts with local government offices, the U.S. Small Business Administration, or the U.S. Minority Business Development Agency to identify small, minority-owned, and woman-owned businesses in your area.

Each year, you are required to report to EPA on your efforts to include minority-owned and woman-owned businesses in your procurement processes. This report is prepared by completing a form called “MBE/WBE Utilization Under Federal Grants, Cooperative Agreements, and Interagency Agreements” (EPA Form 5700-52A). The purpose of this form is to report the total dollar amount of any contracts you awarded and other purchases you made and the dollar amount that went to minority-owned and woman-owned businesses. This report must be submitted by October 30 of each year and covers the previous federal fiscal year. (You must fill out and submit the form each year, even if you did not issue any contracts during the year or procure any goods and services from minority-owned or woman-owned businesses. (See page 3-13 for an example of a completed form.)

The federal fiscal year begins October 1 of one year and ends September 30 of the following year. For example, the reporting period for fiscal year 2007 runs from October 1, 2006 through September 30, 2007.

Federal Cash Transaction Report

TAG recipients that receive reimbursement payments from EPA through electronic payment methods may be required to complete a federal cash transaction report (SF 272) yearly. The federal cash transaction

report shows the amount of funds that were electronically transferred to your bank account and how those funds were spent. If you are required to submit federal cash transaction reports, this will be specified in your TAG award agreement.

Ask your EPA project officer/regional TAG coordinator if your group is required to submit federal cash transaction reports semi-annually.

If you are unsure about whether you must submit federal cash transaction reports, ask your EPA project officer/regional TAG coordinator. If you are subject to this requirement, these reports are due within 15 working days after June 30 (15 working days, which generally falls around July 22, depending on the year), and December 31 (15 working days, which generally runs around January 22, depending on the year). For more information about electronic payments, see *Section 5, Requesting Payment*.

3.3 Draft Contracts and Other TAG Documents

EPA also requires you to submit a variety of other documents to your EPA project officer/regional TAG coordinator at appropriate times during the life of your TAG. These documents include:

- **Draft Contracts and Amendments**—You are required to notify EPA of any proposed contract or amendment over \$1,000 and to provide EPA with the opportunity to review all such contracts before you award or amend them. For more information, see 4.2, Step 7: Prepare and Award the Contract, in *Section 4, Procurement—Using TAG Funds*.
- **Reports Prepared by Technical Advisors or By Your Group**—You must send to EPA a copy of each final written product prepared by your technical advisor or by your group. EPA may send a copy of these reports to local Superfund site information repositories. You should include copies of these documents with your quarterly progress reports.
- **Documents Listed in Your TAG Award Agreement**—You need to send to EPA any document or item that is specifically required in the terms and conditions of your TAG award agreement. These items should be sent to EPA in accordance with the schedule specified in the TAG award agreement.

3.4 Sample Reports/Documents and Instructions

This section contains step-by-step instructions and samples or templates of the required forms and reports to help you complete each. These forms and reports include:

- Quarterly progress report
- Financial status report (Standard Form 269A, Short Form)
- “MBE/WBE Utilization Under Federal Grants, Cooperative Agreements, and Interagency Agreements” (EPA Form SF 5700-52A)
- Federal cash transaction report (SF 272) (not required for some TAG recipients)
- Final project report

The instructions apply only to the items that you need to complete on each form. If you have questions as you complete these forms, contact your EPA project officer/regional TAG coordinator for assistance. A blank copy of the sample format/template for the quarterly progress report is included in *Section 9, Blank Worksheets and Other Tools*. Blank copies of the standard forms are provided in *Section 8, Blank Official Forms*.

All reports must be submitted officially to EPA by the legally authorized representative of your TAG group.

Completing a Quarterly Progress Report

You need to report several different types of information to EPA in each of your quarterly progress reports. Each of these is explained below. A sample report is provided on page 3-7. (The sample is based on the activities at a fictitious site. See *Section 9: Blank Worksheets and Other Tools*, for a template you may want to use.)

Remember: Your quarterly progress reports are due to EPA on or before:

May 15 (for January-March)
 August 15 (for April-June)
 November 15 (for July-September)
 February 15 (for October-December)

- **Progress Achieved**—Describe each of the TAG activities done during the reporting quarter, including whether you are initiating, continuing, or concluding the activity. Project activities include issuing a contract to a technical advisor, preparing technical reports, holding meetings, producing

and distributing a newsletter, responding to inquiries, or updating your TAG project files. For each reported activity, specify the number of hours each took and the dates each activity occurred, such as the date of a meeting. Whenever possible, include the number of people who attended meetings, received your newsletter or mailing, received information from your web site (hits on a website), or participated in activities included in your report.

- *Materials Produced This Quarter*—List any documents prepared by your technical advisors or your group, such as technical advisor reports or briefings, group newsletters, or minutes and sign-in sheets for meetings. **When listing documents, always reference the appropriate TAG deliverables listed in your TAG award agreement.** Attach copies of documents produced by your group or your technical advisors with the quarterly progress report.
- *Progress Toward Environmental Results Outputs and Outcomes*—An “output” is an activity, effort or work product produced by your TAG group. An “outcome” is the result or effect of the output. For example, your group’s web site (an output) gives community members a better understanding of the local Superfund site (an outcome). Your quarterly report must track the progress of Environmental Results outputs and outcomes using quantitative and qualitative measurements. For example, if you held a meeting [output], include the date and location, the specific issues discussed, who was invited (group members or whole community), and how many people attended. For the outcome, describe how many people attended and any feedback you got about the meeting. You then can estimate the number of people in the community who are likely to have a better understanding of site issues as a result of the meeting. (For more information, see fact sheet on *Making Sure Your TAG Gets Environmental Results* at <http://www.epa.gov/superfund/community/tag/resource.htm>).
- *Difficulties Encountered*—For example, if activities are proceeding more slowly than expected, your budget is not working out as anticipated, or you are having difficulties procuring the services of a technical advisor, or if Superfund site work is ahead of or behind schedule. If you do not document difficulties and potential problems, EPA will not know if you need help with your schedule or budget, and some changes to the schedule or budget require formal amendment of your TAG. If you have no problems to report, indicate “none.”
- *Activities Anticipated Next Quarter*—Describe the types of activities that your group and your technical advisors will be working on during the next quarter. Note new activities along with those that are continuing. If you have nothing to report, indicate “none.”

QUARTERLY PROGRESS REPORT

WOODTOWN LANDFILL COALITION

Report Number: 1

Date: October 15, 2006

Report Period: July 1, 2006 - September 30, 2006

Site: Woodtown Landfill, Litchfield, Connecticut

Grant Recipient: Woodtown Landfill Coalition

Recipient Group Representative: Pat Jones, Executive Director

Technical Advisor: Professor Jan Carter

Progress Achieved:

- Technical advisor completed (July 30) review of the remedial investigation work plan (9 hours).
- Technical advisor prepared (August 13) an evaluation memo on the remedial investigation work plan (8 hours).
- Technical advisor and 10 other Woodtown Landfill coalition members attended (August 20) the remedial investigation kick-off meeting (4 hours for technical advisor’s meeting preparation; 4 hours for technical advisor’s meeting attendance).
- Coalition held four general membership meetings (July 20, August 6 and 27, September 17) to discuss future group activities and review the remedial investigation work plan memo, and prepared brief minutes for each meeting. Attendance was 25 for the July 20 meeting, 28 for August 6, 30 for August 27, and 38 for September 17).
- Coalition mailed (August 20) the technical advisor’s evaluation memo to 75 interested individuals and to EPA for inclusion in the site information repositories.

Materials Produced this Quarter:

- Meeting minutes for four coalition meetings. Prepared by Pat Jones, Executive Director, on July 20, August 6 and 27, and September 17.
- “Evaluation Memo on Remedial Investigation Work Plan” (attached). Prepared by Jan Carter, Technical Advisor, on August 13, 2004.

Difficulties Encountered:

- None

Environmental Results Progress Achieved:

| Outputs | Outcomes |
|--|--|
| Technical advisor’s evaluation memo of RI work plan completed and mailed to 75 people and to EPA | Community learns about site cleanup procedures and decisions. Community better understands the environmental conditions and cleanup activities at the site. |
| Coalition held 4 meetings (dates and attendance figures above) | Community better understands the environmental conditions and cleanup activities at the site. |

Activity Anticipated in Next Quarter:

- Technical advisor will review EPA risk assessment report, which is part of the remedial investigation.
- Coalition will attend a public meeting to inform community members about the progress at the site.
- Coalition will prepare a newsletter for distribution to interested community members and the information repositories.

Completing a Financial Status Report (SF 269A, Short Form)

A blank copy of this form is provided in *Section 8, Blank Official Forms*.

1. Federal Agency and Organizational Element to Which Report Is Submitted: Enter the appropriate Financial Management or Grants Management Office (varies by region) specified in the TAG award agreement.
2. Federal Grant Number: Enter the grant number assigned by EPA in your award agreement.
3. Recipient Organization: Enter the name and full mailing address of your group as it is shown in your TAG award agreement. If your group's address has changed (or is expected to change), your group's authorized representative must inform the EPA project officer/regional TAG coordinator in writing, on the group's letterhead.
4. Employer Identification Number: Enter your employer identification number (EIN).
5. Recipient Account Number: If you have assigned an identifying account number to your TAG, fill it in here. If not, leave it blank.
6. Report Status: If this is your final report, check (✓) "Yes." If this is not your final report, check "No."
7. Basis: Check (✓) "Cash"(in most cases).
8. Funding/Grant Period: Enter the month, day, and year that your TAG project period began and the month, day, and year that your project period ends, as specified in your TAG award agreement.
9. Period Covered by this Report: Enter the month, day, and year that the period covered by this report began and the month, day, and year that the period ended.
10. Transactions: If this is your first report, leave columns I and II blank and fill in column III. If this is not your first report, enter the cumulative amounts reported in your last financial status report in column I, and enter amounts for transactions during the current reporting period in II. Add column I and II amounts on each line together, and enter the resulting total in column III.
 - (a) Total outlays: Enter total outlays for the year (cash expenditures plus in-kind contributions from your group, and expenditures from federal and matching shares).
 - (b) Recipient outlays: Enter the total group outlays (cash expenditures plus in-kind contributions from your group).
 - (c) Federal outlays: Enter the federal share of the outlays (the federal share must be less than or equal to the federal percentage shown in the grant document, usually 80 percent).
 - (d) Total unliquidated obligations: Enter the total amount owed to contractors and any other outstanding bills. If this is your final Financial Status Report, this amount must be zero, because all debts must be paid prior to its submission.
 - (e) Recipient share of unliquidated obligations: Enter the portion of the amount you entered in 10(d) that will be paid with your group's matching contribution.
 - (f) Federal share of unliquidated obligations: Enter the portion of the amount you entered in 10(d) that will be paid with federal funds EPA provides through reimbursement. This federal share must be at least equal to the federal percentage shown in your TAG award agreement.

Remember: This form must be filled out and submitted to the EPA project officer/regional TAG coordinator within 90 days of the anniversary of the start of your TAG and every anniversary thereafter until your TAG is completed.

(g) Total federal share: Enter the sum of 10(c) and 10(f).

(h) Total federal funds authorized for this funding period: Enter the total amount of federal funds you were allowed to spend during the year, as specified in your TAG award agreement.

(l) Unobligated balance of federal funds: Subtract the amount in 10(g) from the amount in 10(h).

11. Indirect Expense: Leave this section blank.
12. Remarks: If you believe it is necessary to explain any of the data you entered on this report, write any explanation on a separate sheet and attach it to the completed form. (Be sure to refer to the specific item number you are addressing with each explanatory note.)
13. Certification: Print the name of your group's authorized representative and write in his/her phone number in the blocks provided. Your group's authorized representative should read, sign, and date this certification. This financial report will be used in the event of any federal audit, so it is imperative that the figures accurately reflect the financial status of the TAG.

FINANCIAL STATUS REPORT

(Short Form)

(Follow instructions on the back)

| | | | | | |
|---|--|--|-----------------------------|--|---------------------------|
| 1. Federal Agency and Organizational Element to Which Report is Submitted U.S. EPA-Technical Assistance Grant | | 2. Federal Grant or Other Identifying Number Assigned By Federal Agency 1-900000-01-0 | | OMB Approval No. 0348-0038 | Page of 1 1 pages |
| 3. Recipient Organization (Name and complete address, including ZIP code) Woodtown Landfill Coalition, 1 Main Street, Litchfield, CT 06898 | | | | | |
| 4. Employer Identification Number 02-1234567 | | 5. Recipient Account Number or Identifying Number | | 6. Final Report <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| 7. Basis <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual | | | | | |
| 8. Funding/Grant Period (See instructions) From: (Month, Day, Year) 4/1/2003 | | To: (Month, Day, Year) 3/31/2006 | | 9. Period Covered by this Report From: (Month, Day, Year) 4/1/2004 | |
| | | | | To: (Month, Day, Year) 3/31/2005 | |
| 10. Transactions: | | | I Previously Reported | II This Period | III Cumulative |
| a. Total outlays | | | \$41813.01 | \$13110.95 | \$54923.96 |
| b. Recipient share of outlays | | | \$ 8362.60 | \$ 2622.19 | \$10984.79 |
| c. Federal share of outlays | | | \$33450.40 | \$10488.77 | \$43939.17 |
| d. Total unliquidated obligations | | | | | 0 |
| e. Recipient share of unliquidated obligations | | | | | 0 |
| f. Federal share of unliquidated obligations | | | | | 0 |
| g. Total Federal share(Sum of lines c and f) | | | | | \$43939.17 |
| h. Total Federal funds authorized for this funding period | | | | | \$50000.00 |
| i. Unobligated balance of Federal funds(Line h minus line g) | | | | | \$ 6060.83 |
| 11. Indirect Expense | | | | | |
| a. Type of Rate(Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed | | | | | |
| b. Rate | | c. Base | | d. Total Amount | |
| | | | | 0 | |
| | | | | e. Federal Share | |
| | | | | 0 | |
| 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation. See attached receipts, paid invoices, and time sheets. | | | | | |
| 13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents. | | | | | |
| Typed or Printed Name and Title Pat Jones, Executive Director | | | | Telephone (Area code, number and extension) 203-123-0400 | |
| Signature of Authorized Certifying Official <i>Pat Jones</i> | | | | Date Report Submitted April 20, 2005 | |

NSN 7540-01-218-4387

268-202

Standard Form 269A (Rev. 7-97)
Prescribed by OMB Circulars A-102 and A-111

Completing Your Final Project Report

Your final report to EPA does not have to be long. It should summarize everything that happened during your TAG project and include all the types of information shown in the sample table of contents below. The quarterly progress reports you submit to EPA throughout your project should provide most of the information you need for the final project report. (An annotated outline for a final project report is shown in the box below.)

Remember: Your final project report must be submitted to EPA within 90 days after the end of your TAG project.

Annotated Outline for a Final Project Report

- I. Introduction: Include the name of the site you have been working on; the name of your group, your authorized representative, and your technical advisor; and any other historical or overview information you wish.
- II. Project Goals and Objectives: Describe the overall goals and specific objectives of your TAG project.
- III. Activities To Achieve Your Goals and Objectives: Describe each type of activity done during your TAG project.
- IV. Difficulties Encountered: Describe any difficulties encountered during your TAG and if and how these difficulties were resolved.
- V. Technical Advisor's Work Products: List all the products—reports, memos, briefings, etc.—produced by your technical advisor during the TAG project. Attach copies of any products you have not already provided to EPA.
- VI. Funds Spent:
 - A. Federal Share: Specify the total amount of the federal share expended.
 - B. Matching Share: Specify the total amount of the matching share expended.
 1. Cash Expenditures: Identify the portion of that amount that was cash expenditures.
 2. In-kind Contributions: Identify the portion from in-kind contributions.
- VII. Conclusion: Summarize the accomplishments of your TAG project.

Completing the MBE/WBE Utilization Form (EPA Form 5700-52A: Part 1)

A blank copy of the MBE/WBE Utilization Report form (EPA Form 5700-52A) is provided in *Section 8, Blank Official Forms*, available at <http://www.epa.gov/superfund/community/tag/resource.htm>.

You only are required to report contracts (and other expenditures) to minority-owned and woman-owned business enterprises. You must submit this form each year, even if you did not issue any contracts during the year or procure any goods and services from minority-owned or woman-owned businesses. Most or all of the reporting lines are \$0.

Remember: The MBE/WBE Utilization Report must be submitted by October 30 of each year and covers the entire federal fiscal year, which begins October 1 of one year and ends September 30 of the following year. For example, the reporting period for fiscal year 2007 starts on October 1, 2006 and ends on September 30, 2007.

- 1(a). Federal Fiscal Year: Enter the federal fiscal year.
- 1(b). Reporting Quarter: Check the reporting box for annual.
- 1(c). Fill in this block *only* if you are amending a report from the previous year.
- NOTE:** Do not fill in the block titled “Highlight Items to be Revised and Provide Explanation in Block 6.”
- 2(a). Federal Financial Assistance Agency: Enter the name and address of the EPA regional office designated in the your TAG award agreement.
- 2(b). Reporting Contact: Enter the name of the Disadvantaged Business Enterprise Coordinator designated in the Disadvantaged Business Enterprise condition of your TAG award agreement.
- 2(c). Phone: Enter the phone number of the Disadvantaged Business Enterprise Coordinator designated in the Disadvantaged Business Enterprise condition of your TAG award agreement.
- 3(a). Reporting Recipient: Enter the name and address of your group.
- 3(b). Reporting Contact: Provide the name of your group’s designated representative who handles contracting and procurement.
- 3(c). Phone: Provide the phone number of your group’s designated representative who handles contracting and procurement.
- 4(a). Financial Assistance Agreement ID Number: Enter your federal grant number assigned by EPA in your TAG award agreement.
- 4(b). Federal Financial Assistance Program: Enter “Superfund Technical Assistance Grant.”
- 5(a). Total Assistance Agreement Amount: Enter the total amount of your TAG provided by EPA and your matching amount.
- 5(b). No Procurements/Accomplishments: Check (✓) this box if you did not spend any TAG funds to award any contracts or procure any goods and services during the federal fiscal year.
- 5(c). Total Procurement Amount This Reporting Period: Enter the total dollar value for all of the contracts and procurements (for example, purchase of supplies) you awarded during the fiscal year.
- 5(d). Actual MBE/WBE Procurement Accomplished This Reporting Period: Enter the dollar value for all of the contracts and procurements (for example, purchase of supplies) you awarded to minority-owned and to woman-owned business enterprises during the fiscal year. Enter the amount for contractors under “Services.” Enter the amounts for equipment and supplies (if authorized in your TAG award agreement) on the “Equipment” and “Supplies” lines. Then, provide a “Total” for minority-owned business enterprises and for woman-owned business enterprises.
- 5(e). Actual MBE/WBE Procurement Accomplished This Reporting Period by Loan Recipients, Sub-Recipients, and Prime Contractors: If any of your contractors awarded subcontracts to, or spent TAG funds on procurements from minority-owned or woman-owned firms, enter the amounts on the appropriate lines in this section.
6. Comments: Leave blank or fill in with additional comments or explanations. If you add information, refer to the specific item numbers, if appropriate.
7. Name of Authorized Representative: Type or print the name and title of your group’s legally authorized representative.
8. Signature of Authorized Representative: Your group’s authorized representative must sign and date the form.

U.S. ENVIRONMENTAL PROTECTION AGENCY MBE/WBE UTILIZATION UNDER FEDERAL GRANTS, COOPERATIVE AGREEMENTS, AND INTERAGENCY AGREEMENTS

PART 1. (Reports are required even if no procurements are made during the reporting period.)

| 1A. FEDERAL FISCAL YEAR 200 <u>5</u> | | 1B. REPORTING QUARTER (Check appropriate box) <input type="checkbox"/> 1 st (Oct-Dec) <input type="checkbox"/> 2 nd (Jan-Mar) <input type="checkbox"/> 3 rd (Apr-Jun) <input type="checkbox"/> 4 th (Jul-Sep) <input checked="" type="checkbox"/> Annual | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--------|---|---|---|--------------------------------|--------------|-------|-------|-----------|-------|-------|----------|-------|-------|----------|-------|-------|--------------|-------|-------|---|--|--|--|--------|--------|--------------|-------|-------|-----------|-------|-------|----------|-------|-------|----------|-------|-------|--------------|-------|-------|
| 1C. REVISION Year: _____ Quarter: _____ | | HIGHLIGHT ITEMS TO BE REVISED AND PROVIDE EXPLANATION IN BLOCK No. 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2A. FEDERAL FINANCIAL ASSISTANCE AGENCY (EPA Office Address - ATTN: DBE Coordinator) U.S. EPA Region 1 Office of Small & Disadvantaged Business Utilization Programs One Congress Street, Suite 1100 Boston, MA 02114 | | | 3A. REPORTING RECIPIENT (Name and Address) Woodtown Landfill Coalition 1 Main Street Litchfield, CT 06898 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2B. REPORTING CONTACT (EPA DBE Coordinator) Bob Smith | | 2C. PHONE: 617-911-2222 | 3B. REPORTING CONTACT (Recipient) Pat Jones Executive Director | | 3C. PHONE: 203-123-0400 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4A. FINANCIAL ASSISTANCE AGREEMENT ID NUMBER (SRF State Recipients, Refer to Instructions for Completion of 4A, 5A, and 5C) 1-900000-01-0 | | | 4B. FEDERAL FINANCIAL ASSISTANCE PROGRAM EPA Superfund Technical Assistance Grant | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5A. TOTAL ASSISTANCE AGREEMENT AMOUNT EPA Share: \$ 50,000 Recipient Share: \$ 12,500 | | 5B. Check and skip to Block No. 7 if no procurements and accomplishments were made this reporting period. <input type="checkbox"/> | | 5C. TOTAL PROCUREMENT AMOUNT THIS REPORTING PERIOD (ONLY include the amount not in any prior reporting period and procurements made by SRF Loan Recipients and Sub-Recipients) 14,330.72 \$ _____ (Exclude procurement amounts reported by Prime Contractors) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5D. ACTUAL MBE/WBE PROCUREMENT ACCOMPLISHED THIS REPORTING PERIOD BY RECIPIENT (SRF State Recipients, Report State Procurement Activities Here) | | | 5E. ACTUAL MBE/WBE PROCUREMENT ACCOMPLISHED THIS REPORTING PERIOD BY LOAN RECIPIENTS, SUB-RECIPIENTS, AND PRIME CONTRACTORS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 20%; text-align: center;">\$ MBE</th> <th style="width: 20%; text-align: center;">\$ WBE</th> </tr> </thead> <tbody> <tr> <td>Construction</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Equipment</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Services</td> <td style="text-align: center;">\$250</td> <td>_____</td> </tr> <tr> <td>Supplies</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>TOTAL</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table> | | | | \$ MBE | \$ WBE | Construction | _____ | _____ | Equipment | _____ | _____ | Services | \$250 | _____ | Supplies | _____ | _____ | TOTAL | _____ | _____ | <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 20%; text-align: center;">\$ MBE</th> <th style="width: 20%; text-align: center;">\$ WBE</th> </tr> </thead> <tbody> <tr> <td>Construction</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Equipment</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Services</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Supplies</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>TOTAL</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table> | | | | \$ MBE | \$ WBE | Construction | _____ | _____ | Equipment | _____ | _____ | Services | _____ | _____ | Supplies | _____ | _____ | TOTAL | _____ | _____ |
| | \$ MBE | \$ WBE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Construction | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Equipment | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Services | \$250 | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supplies | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | \$ MBE | \$ WBE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Construction | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Equipment | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Services | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Supplies | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. COMMENTS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. NAME OF AUTHORIZED REPRESENTATIVE Pat Jones | | | | TITLE Executive Director | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8. SIGNATURE OF AUTHORIZED REPRESENTATIVE <i>Pat Jones</i> | | | | DATE 10/29/2004 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

EPA FORM 5700-52A - (5/96) available electronically at http://www.epa.gov/osdbu/5700_52a.pdf
NOTE: THIS REPORT IS DUE 30 DAYS AFTER THE END OF EACH FEDERAL FISCAL QUARTER OR ANNUAL:
 SUBMISSION DATES ARE: **January 30, April 30, July 30, and October 30***
 * ANNUAL REPORT

Completing the MBE/WBE Utilization Form (EPA Form 5700-52A: Part 2)

Complete EPA Form 5700-52A: Part 2 *only* if you or your contractor used TAG funds to procure goods or services from a minority-owned or woman-owned business enterprise during the fiscal year. A blank copy of this form is provided in Section 8, Blank Official Forms, available at <http://www.epa.gov/superfund/community/tag/resource.htm>.

If you awarded a contract to a minority-owned or a woman-owned business enterprise, your contractor awarded a subcontract to a minority-owned or woman-owned business enterprise, or you or your contractor purchased items (for example, supplies) from a minority-owned or woman-owned business enterprise during the year, you must complete and submit EPA Form 5700-52A: Part 2 by October 30 of each year.

Remember: If required, EPA Form 5700-52A: Part 2 must be submitted by October 30 of each year and covers the entire federal fiscal year.

For each minority-owned business or woman-owned business procurement made with TAG funds during the fiscal year, you must provide the following information:

1. **Procurement Made By:** Check (✓) the “Recipient” column if you contracted with or purchased anything from a minority-owned or woman-owned business enterprise during the fiscal year. Check (✓) the “Other” column if your contractor procured the services of, or purchased anything from, a minority-owned or woman-owned business enterprise during the fiscal year.
2. **Business Enterprise:** Check (✓) the “Minority” column if your group awarded a contract to or purchased anything from a minority-owned business enterprise. Check (✓) the “Women” column if you awarded a contract to, or purchased anything from, a woman-owned business enterprise .
3. **Dollar Value of Procurement:** Enter the dollar amount of the procurement with the minority-owned or woman-owned business enterprise.
4. **Date of Award:** Enter the month, day, and year that you signed a contract with or purchased something from the minority-owned or woman-owned business enterprise.
5. **Type of Product or Service:** Identify the type of product or service you procured from the minority-owned or woman-owned business enterprise using the codes at the bottom of the form, and enter the code number.
 - If you or your contractor purchased authorized supplies, write in the code “2.”
 - If the minority-owned or woman-owned business enterprise is serving as the grant administrator, or if you or your contractor entered into an authorized contract or purchase of other business services, such as printing, write in the code “3A”(Business Services).
 - If the minority-owned or woman-owned business enterprise is serving as the technical advisor, or if you or your contractor entered into an authorized contract or purchase of other professional services, such as web site design, write in the code “3B” (Professional Services).
 - If you or your contractor purchased authorized equipment, write in “4.”
6. **Name/Address/Phone Number of MBE/WBE Contractor or Vendor:** Enter the name, address, and phone number of the minority-owned or woman-owned business enterprise firm to which you awarded a contract or your contractor awarded a subcontract, or from which you or your contractor purchased authorized supplies or equipment.

Completing a Federal Cash Transactions Report (SF 272)

Complete Form SF 272 only if you receive payment from EPA through electronic payment methods and you have been told that you must complete this requirement. A blank copy of this form is provided in Section 8, Blank Official Forms, available at <http://www.epa.gov/superfund/community/tag/resource.htm>. The report must be submitted within 15 working days after June 30 (usually around July 22, depending on the year), and 15 working days after December 31 (usually around January 22, depending on the year).

1. Federal Sponsoring Agency and Organizational Element to which this Report Is Submitted: Enter the appropriate financial management or grants office (varies by region) as specified in the TAG award agreement.
2. Recipient Organization: Enter the name and full mailing address for your group.
3. Employer Identification Number: Enter your Employer Identification Number (EIN).
4. Federal Grant Number: Enter the grant number assigned by EPA in the TAG award agreement.
5. Recipient's Account Number: If you have assigned an internal account number to your TAG that is different from the grant number assigned by EPA, enter it here. Otherwise, leave this box blank.
6. Letter of Credit Number: Leave blank.
7. Last Payment Voucher Number: Enter the number of the last TAG reimbursement payment you received. If you do not receive TAG reimbursements via payment vouchers (Form TUS 5401), leave this blank.
8. Payment Vouchers Credited to Your Account: Enter the number of TAG reimbursement payments you have received to date. If you do not receive reimbursements via payment vouchers (Form TUS 5401), enter 0.
9. Treasury Checks Received: Enter the number of Treasury checks your group has received during the reporting period. If you do not receive reimbursements via U.S. Treasury checks, enter 0.
10. Reporting Period: Enter the dates of the beginning and the end of the reporting period.
11. Status of Federal Cash:
 - (a) Cash on hand at the beginning of reporting period: Your TAG group should have no federal cash on hand unless you received an approved one-time advance payment and have not yet used the entire advance. Check with your EPA project officer/regional TAG coordinator about what to enter here in that case.
 - (b) Letter of credit withdrawals: Enter total amount of federal funds you received through payment vouchers (Form TUS 5401) during the reporting period.
 - (c) Treasury check payments: Enter the amount of payment you received via U.S. Treasury checks during the reporting period. If you did not receive any U.S. Treasury checks, enter \$0.
 - (d) Total receipts: Enter the total of lines 11(b) and 11(c).
 - (e) Total cash available: Enter the total of lines 11(a) and 11(d).
 - (f) Gross disbursements: Enter the total amount of payments you made for TAG activities using federal funds, such as payments to your technical advisor or grant administrator, purchase of authorized supplies, and any other authorized expenditures.

(g) Federal share of program income: Enter the federal share of program funds that you are required to use, as specified in the terms of your TAG award agreement during the reporting period.

(h) Net disbursements: Subtract line 11(g) from line 11(f) and enter the resulting amount.

(i) Adjustments for prior periods: If applicable, enter the amount of any adjustment made by EPA if EPA's payment in a previous period was different from what you requested and if this adjustment has not been reflected in a previous report. Otherwise, enter "0." Provide an explanation in Block 14, Remarks.

(j) Cash on hand end of period: Your TAG group should have no federal cash on hand, unless you have not used all of an approved one-time advance payment. Check with your EPA project officer/regional TAG coordinator about what to enter here in that case.

12. Number of Days to Expend Cash: If you entered an amount in 11(j), enter the number of days that the remaining federal cash on hand amount is expected to last before it is all spent. Explain the reason for this excess cash on hand under Block 14, Remarks.

13. Other Information:

(a) If you had TAG funds in an interest-bearing account, you must report the amount of interest you received on this line.

(b) Leave this section blank. Your TAG award agreement prohibits advance payments to subcontractors.

14. Remarks: Use this space to provide any explanations, if needed.

15. Certification: Your group's authorized representative, or the group's designated financial officer should read, sign, and date this certification.

3.5

Checklist: Reporting

(This checklist is a reminder to read and follow the full instructions provided throughout this section. Appropriate sub-sections are shown so you can easily reference this important information.)

As Needed:

Submit draft contracts and amendments to EPA prior to signing the contract/ amendment. Retain a copy for your records (Read 3.3).

Quarterly:

Quarterly Progress Report (Read 3.1 and 3.4)

(This report covers the most recently completed calendar quarter—January-March; April-June; July-September; or October-December.)

Describe progress achieved on each of the TAG activities done during the reporting quarter in narrative or chart format.

Describe any difficulties encountered.

Indicate the percentage of your project that had been completed by the end of the reporting quarter based on the funds you have spent and the work accomplished.

List any materials—technical advisor reports, newsletters, agendas and minutes from group meetings—produced during the reporting quarter.

Reference the specific deliverable listed in your TAG award agreement that each product satisfies.

Attach a copy of each product produced during the reporting quarter.

Show Environmental Results outputs and outcomes.

Describe each new or continuing activity your technical advisor and your group will be working on in the next reporting quarter.

Submit the completed report to EPA within 45 days after the end of the calendar quarter covered by the report— May 15 (for January-March); August 15 (for April-June); November 15 (for July-September); and February 15 (for October-December). Retain a copy for your records.

Semi-Annually:

Federal Cash Transaction Report (Standard Form 272) (See 3.2 and 3.4)

(This report covers the January 1–June 30 period or the July 1–December 31 period of each year.)

Make a copy of the SF 272 form in *Section 8, Blank Official Forms*.

Fill in all information requested (see page 3-16 for instructions).

Make sure that your group's authorized representative or designated financial officer reads, signs, and dates this form in the "Certification" section.

Submit the completed SF 272 to EPA 15 working days after June 30 (usually around July 22, depending on the year), and 15 days after December 31 (usually around January 22).

Annually:

Financial Status Report (SF 269A, Short Form) (see 3.1 and 3.4)

This report covers the most recently completed 12 months of your TAG project.

Make a copy of the SF 269A form in *Section 8, Blank Official Forms*.

Fill in all information requested (see page 3-8 through 3-10 for instructions).

Make sure that your group's authorized representative or designated financial office reads, signs, and dates this form in the "Certification" section.

Submit the completed form to EPA each year within 90 days after the anniversary of the award of your TAG. Retain a copy for your files.

MBE/WBE Utilization Under Federal Grants, EPA Form 5700-52A (Parts 1 and 2)

(Read 3.2 and 3.4)

This report covers the most recently completed federal fiscal year. The federal fiscal year begins October 1 of one year and ends September 30 of the following year, so the reporting period for fiscal year 2007 will be from October 1, 2006 through September 30, 2007.

Make a copy of the SF 5700-52A, Part 1 and Part 2, in *Section 8, Blank Official Forms*.

Fill in all information requested on Part 1. You must fill out Part 1 even if you did not issue any contracts during the year or procure any goods and services from minority-owned or woman-owned businesses and most or all of the reporting lines are \$0 (see page 3-12 for instructions).

Fill in all information requested on Part 2 *only* if you or your contractor used TAG funds to procure goods or services from a minority-owned business enterprise (MBE) or woman-owned business enterprise (WBE) during the fiscal year (see pages 3-14 for instructions).

Make sure that your group's authorized representative reads, signs, and dates the forms.

Submit the completed form to EPA by October 30 of each year. Retain a copy for your files.

At Project's End:

Final Project Report (Read 3.1)

This report summarizes everything that happened during your TAG project.

Introduction—Prepare a few introductory sentences that include the name of the site you have been working on; the name of your TAG recipient group, your authorized representative, and your technical advisor; and any other relevant historical or overview information you wish.

Project Goals and Objectives—Describe the overall goals and specific objectives of your TAG approved TAG project.

Activities to Achieve Your Goals and Objectives—Using a narrative or chart format, describe each of the grant activities conducted during your TAG.

Difficulties Encountered—Describe any difficulties encountered during your grant and if or how these difficulties were resolved.

Technical Advisor Work Products—List all the products (reports, memos, briefings, etc.) produced by your technical advisor during the grant. Attach copies of any products you have not already provided to EPA.

Funds Spent—Specify the amount of the federal share of your TAG funds that was expended. Specify the total amount of the matching share of your TAG funds that was expended, and identify the portion of that amount that was cash and the portion that came from in-kind contributions.

Conclusion

Submit this report to EPA within 90 days after the end of your approved TAG.

Final Financial Status Report (Standard Form 269A) (Read 3.1 and 3.4)

This final report covers the period between the last anniversary of your TAG award and the end of your TAG.

Make a copy of the SF 269A form in *Section 8, Blank Official Forms*.

Fill in all information requested (see page 3-8 through 3-10 for instructions). In box 6, mark "final."

Make sure that your group's authorized representative or designated financial office reads, signs, and dates this form in the "Certification" section.

Submit this final report within 90 days after the end of the project period or termination of your TAG.