APPENDIX A TO PART 307—APPLICATION FOR PREAUTHORIZATION OF A CERCLA RESPONSE ACTION

<table>
<thead>
<tr>
<th>I. Introductory Material</th>
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<tbody>
<tr>
<td>A. Name, Title and Address of Applicant(s):</td>
</tr>
<tr>
<td>B. Name of Site:</td>
</tr>
<tr>
<td>C. Eligibility:</td>
</tr>
<tr>
<td>- Individual</td>
</tr>
<tr>
<td>- Firm</td>
</tr>
<tr>
<td>- Foreign Applicant</td>
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</tbody>
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D. Name, Title and Address of Agent (if any) Authorized to Represent the Applicant:

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<tr>
<th>II. Relates to Actual or Threatened Release of a Hazardous Substance, Pollutant or Contaminant</th>
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<tbody>
<tr>
<td>A. Date/Time (a.m./p.m.) of release (if known):</td>
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<tr>
<td>B. Location of the release:</td>
</tr>
<tr>
<td>C. Is the release or threat of release at an NPL site?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>If yes, what is the site name on the NPL?</td>
</tr>
<tr>
<td>D. Provide a short description of the release or threat of release:</td>
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</table>

E. Did you contact the National Response Center? |
Yes | No |
If yes, provide the date and the manner of the notice: |
No | If no, explain why not: |

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<tr>
<th>III. Relates to Potentially Responsible Parties (PRPs)</th>
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<tbody>
<tr>
<td>A. Are you a person whom EPA previously identified as a PRP for the site in question?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>If yes, provide date of notice letter:</td>
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</table>

B. If you have not been identified as a PRP, do you fall within one of the four categories of potentially liable parties set forth in section 107(a) of CERCLA? |
Yes | No |
| If yes, describe why: |

C. Is this application to be approved in the context of a consent order or decree? |
Yes | No |
| If yes, provide information as to the status of the settlement negotiations, provide the name of the relevant EPA contact person, and attach the most recent draft of any settlement agreement: |

D. Have you identified any PRPs for the release or threat of release in question? |
Yes | No |
| If yes, attach a list of known PRPs and describe the results of any contacts with them: |
| If no, describe efforts to identify PRPs: |

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<tr>
<th>IV. Relates to Proposed Response Action</th>
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<tbody>
<tr>
<td>A. Briefly summarize the proposed response action and attach a schedule of major response activities:</td>
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</table>

B. Identify which provisions of the National Contingency Plan (NCP) are applicable for the proposed types of response activity (e.g., removal, R(RFS)) and describe how the proposed action will be conducted in accordance with those provisions.
C. Address how the proposed response action will be consistent with the NCP with regard to the following performance standards:
   1. Worker training, health and safety, and the safety of the public.
   2. Community relations plan
   3. Compliance with legally applicable, or relevant and appropriate, Federal and State environmental requirements (ARARs).

V. Relates to Applicant's Capabilities
Describe your capabilities to carry out the proposed response actions.

VI. Relates to State or Indian Tribe Consultation
Has a letter signed by the designated State or Indian Tribe official been attached? □ Yes □ No If no, explain.

VII. Relates to Long-Term Operations and Maintenance (O&M) (If applicable)
□ I will provide a bond or other financial assurance for O&M. □ The State has agreed to provide for O&M.
Attach documentation to support your assertion.

VIII. Relates to Projected Costs
A. Provide the projected costs for each proposed response activity and attach an explanation of why each of these costs is "necessary."
   1. $ 
   2. $ 
   3. $ 
   4. $ 
   TOTAL $ 
B. Provide a proposed schedule for the submission of claims.

IX. Relates to Project Management
A. Describe the management structure to be put in place to implement the proposed project and to control financial matters
B. Describe your procedures for comprehensively documenting the work performed and the costs incurred for all phases of the proposed response action.
C. Describe your procedures for reporting to EPA on the progress of the proposed project and for EPA oversight.
D. Describe your proposed procurement procedures

Certification
I certify that all information herein is true to the best of my knowledge. I agree to supply additional information as requested, in support of this application and access to the site for purpose of inspection.

Signature of Applicant Date

CERCLA Penalty for Presenting Fraudulent Claim
Any person who knowingly, gives or causes to be given false information as a part of a claim against the Hazardous Substance Superfund may, upon conviction, be fined in accordance with the applicable provisions of Title 18 of the United States Code or imprisoned for not more than 3 years or not more than 5 years in the case of a second or subsequent conviction, in both (42 USC 9612(b)(1))

Civil Penalty for Presenting Fraudulent Claim
The claimant is liable to the United States for a civil penalty of $2,000 and an amount equal to two times the amount of damages sustained by the Government because of the acts of that person, including costs of the civil action.

Criminal Penalty for Presenting Fraudulent Claim or Making False Statements
The claimant will be charged a maximum fine of not more than $10,000 or be imprisoned for a maximum of 5 years, or both (15 USC 2621, 766, 748, 18 USC 291, 1501)
INSTRUCTIONS TO APPLY
FOR PREAUTHORIZATION OF A CERCLA RESPONSE CLAIM

The form is to be used only for a claim against the Insurers Substantially Involved or any by a party who desires Fund reimbursement for a particular type of response activity. This form shall be used in conjunction with the regulatory guidelines for CERCLA preauthorization, as outlined in 40 CFR Part 307. The public reporting burden for the completion of this form is estimated to vary between 190 and 230 hours - equivalent to 250 hours per application. These estimates include the time needed to review instructions, search existing data sources, gather and maintain the data needed for completing and reviewing the collection of information. Any comments concerning the burden estimates including suggestions for reducing the burden of any aspect of this form should be sent to the following addresses:

Chief, Information Policy Branch, PA-223
U.S. Environmental Protection Agency
401 M St. SW.
Washington, D.C. 20460

and
Office of Information and Regulatory Affairs
Office of Management and Budget
725 Jackson Place, N.W.
Washington, D.C. 20503

Attention: Desk Officer for EPA

The applicant must complete the form and submit it to the U.S. Environmental Protection Agency. If a claimant or authorized agent wishes to include a list of potential parties (for example, a list of potential or actual parties), which may be included on this form, they should provide a list of potential parties and indicate their interest in participating in the remediation process. This list should be submitted along with the qualify for preauthorization.

A number of forms are also available for claimants to use for specific purposes. These forms include:

- Form A: Application for Preauthorization of a CERCLA Response Claim
- Form B: Notice of Preauthorization of a CERCLA Response Claim
- Form C: Notice of Denial of Preauthorization of a CERCLA Response Claim
- Form D: Notice of Revisions to a Preauthorization of a CERCLA Response Claim
- Form E: Notice of Withdrawal of Preauthorization of a CERCLA Response Claim
- Form F: Notice of Acceptance of a Preauthorization of a CERCLA Response Claim

Each form contains detailed instructions and specific requirements that must be met in order for the form to be complete. These forms are available online at the EPA's website or can be obtained by contacting the EPA's Preauthorization Program.

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