

UNITED STATES  
ENVIRONMENTAL PROTECTION AGENCY

**APPLICATION HANDBOOK  
FOR  
FEDERAL ASSISTANCE  
AGREEMENTS**  
(Grants/Cooperative Agreements)



Available on website [www.epa.gov/region1/grants](http://www.epa.gov/region1/grants)



## TABLE OF CONTENTS

GRANTS MANAGEMENT DIRECTORY.....	PAGE 1
CATALOG OF FEDERAL DOMESTIC ASSISTANCE LIST.....	PAGE 2-3
APPLICATION FOR FEDERAL ASSISTANCE SF-424,424 A & B...	PAGE 4-15
GUIDE TO BUDGET DETAIL.....	PAGE 16
SAMPLE BUDGET DETAIL.....	PAGE 17
WORK PLAN GUIDANCE.....	PAGE 18-19
INTERGOVERNMENTAL REVIEW PROCESS.....	PAGE 20-21
CERTIFICATION REGARDING LOBBYING.....	PAGE 22
DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL).....	PAGE 23-24
PREAWARD COMPLIANCE REVIEW REPORT (EPA FORM 4700-4)...	PAGE 25-26
PROCUREMENT SYSTEM CERTIFICATION (EPA FORM 5700-48)...	PAGE 27-28
QUALITY ASSURANCE REQUIREMENTS.....	PAGE 29
APPLICABLE EPA REGULATIONS AND DESCRIPTIONS.....	PAGE 30-32
GUIDANCE ON OBTAINING REQUIRED DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER .....	PAGE 33-34
APPLICATION CHECKLIST OF ITEMS TO BE SUBMITTED.....	PAGE 35



## **GRANTS MANAGEMENT OFFICE DIRECTORY**

Pamela J. Ringhoff, Grants Manager	617- 918-1912
Janet Bartlett, Senior Grants Specialist	617- 918-1972
Henry Burrell, Senior Grants Specialist	617- 918-1973
Diane Culhane, Grants Specialist	617- 918-1975
Monique Dillon, Grants Specialist	617- 918-1976
Mary Kelley, IGMS/Information Management Specialist	617- 918-1977
Marianne Salerno, IGMS/Information Management Specialist	617- 918-1172
Cheryl Scott, Grants Specialist	617- 918-1174
Mary-Ellen Stanis, Grants Specialist	617- 918-1173
Brian Tocci, Grants Assistant	617- 918-1979
Paul Trevino, Grants Specialist	617- 918-1974

### **GRANTS SPECIALIST ASSIGNMENTS:**

**Connecticut** - Monique Dillon

**Maine** - Paul Trevino

**Massachusetts** - State/Tribal Recipients - Diane Culhane

**Massachusetts** - Non-Profit Recipients, Cities & Towns - Cheryl Scott

**New Hampshire** - Mary-Ellen Stanis

**Rhode Island** - Henry Burrell

**Vermont** - Janet Bartlett

**Interstates and Other Than New England States** - Janet Bartlett

### **MAILING ADDRESS**

U.S. ENVIRONMENTAL PROTECTION AGENCY  
GRANTS MANAGEMENT OFFICE  
1 CONGRESS STREET, SUITE 1100-MGM  
BOSTON, MA 02144-2023



THE CATALOG OF FEDERAL DOMESTIC ASSISTANCE

**CFDAs by Number**

05/16/2005	<b>66.001</b> - Air Pollution Control Program Support
09/20/2004	<b>66.003</b> - Air Pollution Control Manpower Training
09/20/2004	<b>66.006</b> - Air Pollution Control Technical Training
06/28/2005	<b>66.009</b> - Air Information Center
02/22/99	<b>66.032</b> - State Indoor Radon Program
05/06/2005	<b>66.033</b> - Ozone Transport Assistance
01/08/2003	<b>66.034</b> - Surveys-Studies-Investigations-Demonstrations and Special Purpose Activities relating to the Clean Air Act
02/07/2005	<b>66.035</b> - Community Action for a Renewed Environment (CARE) Program
07/27/2005	<b>66.036</b> - Clean School Bus USA
03/02/2006	<b>66.037</b> - Internships, Training, Workshops and Fellowships for the Office of Air and Radiation (OAR)
04/12/2005	<b>66.110</b> - Healthy Communities Grant Program
12/02/2005	<b>66.111</b> - Regional Environmental Priority Projects
03/02/2006	<b>66.112</b> - Surveys, Studies, Investigations, Training, Demonstrations and Special Purpose Grants for Regional Geograph
03/02/2006	<b>66.113</b> - Region 3 Environmental Priority Projects
03/15/2006	<b>66.114</b> - Environmental Protection Consolidated Grants-Program Support (Regional)
03/02/2006	<b>66.202</b> - Congressionally Mandated Projects
01/02/2003	<b>66.305</b> - Compliance Assistance-Support for Services to the Regulated Community and Other Assistance Providers
05/29/2003	<b>66.306</b> - Environmental Justice Collaborative Problem-Solving Grants Program
10/25/2005	<b>66.307</b> - Environmental Justice Training and Fellowship Assistance
10/25/2005	<b>66.308</b> - Environmental Justice Research Assistance
10/25/2005	<b>66.309</b> - Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice
10/25/2005	<b>66.310</b> - Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities i
10/16/2002	<b>66.418</b> - Construction Grants For WWT Works
09/09/2002	<b>66.419</b> - WPC State and Interstate Program Support
01/08/2003	<b>66.424</b> - Surveys-Studies-Investigations-Demonstrations and Special Purpose-Section 1442 of the Safe Drinking Water
02/22/99	<b>66.432</b> - State Public Water System Supervision
02/22/99	<b>66.433</b> - State Underground Water Source Protection
09/20/2004	<b>66.435</b> - WPC Lake Restoration Cooperative Agreements
01/08/2003	<b>66.436</b> - Surveys-Studies and Investigations-Grants and Cooperative Agreements-Section 104(b)(3) of the Clean Water
04/03/2003	<b>66.437</b> - Long Island Sound Program
11/21/2006	<b>66.438</b> - Construction Management Assistance
07/16/2003	<b>66.439</b> - Targeted Watershed Initiative
02/22/99	<b>66.454</b> - Water Quality Management Planning
02/22/99	<b>66.456</b> - National Estuary Program
04/07/2003	<b>66.458</b> - Capitalization Grants for State Revolving Fund
02/22/99	<b>66.460</b> - Nonpoint Source Implementation
02/22/2005	<b>66.461</b> - Regional Wetlands Program Development Grants
02/18/2005	<b>66.462</b> - National Wetland Program Development Grants
02/27/2002	<b>66.463</b> - Water Quality Cooperative Agreements
09/20/2004	<b>66.464</b> - Near Coastal Waters Program
09/20/2004	<b>66.465</b> - Wellhead Protection Program Grants
02/22/99	<b>66.466</b> - Chesapeake Bay Program
02/22/99	<b>66.467</b> - Wastewater Operator Training Grant Program
06/20/2005	<b>66.468</b> - Safe Drinking Water State Revolving Fund
06/20/2005	<b>66.469</b> - Great Lakes Program
09/30/2005	<b>66.470</b> - Hardship Grant Program Rural Communities
04/06/2004	<b>66.471</b> - Reimburse Operators Small Water System For Costs
03/15/2001	<b>66.472</b> - Beach Monitoring and Notification Program Development Grants
08/09/2001	<b>66.473</b> - Direct Implementation Tribal Cooperative Agreements
05/21/2002	<b>66.474</b> - Water Protection Coordination Grants to the States
05/21/2002	<b>66.475</b> - Gulf of Mexico Program
11/21/2006	<b>66.476</b> - Vulnerability Assessments and Related Security Improvements at Large Drinking Water Utilities
11/21/2006	<b>66.477</b> - Vulnerability Assessments and Related Security Improvements at Large Privately-Owned Community Drinking
12/24/2002	<b>66.478</b> - Water Security Training and Technical Assistance Grant Program
09/20/2004	<b>66.479</b> - State/Tribal Environmental Outcome Wetland Demonstration Program
05/18/2004	<b>66.480</b> - Assessment and Watershed Protection Program Grants
05/18/2004	<b>66.481</b> - Lake Champlain Basin Program
11/21/2006	<b>66.500</b> - Consolidated Research Grants
09/20/2004	<b>66.501</b> - Air Pollution Control Research
09/20/2004	<b>66.502</b> - Pesticides Control Research
09/20/2004	<b>66.504</b> - Solid Waste Disposal Research
09/20/2004	<b>66.505</b> - WPC Research - Development and Demonstration
09/20/2004	<b>66.506</b> - Safe Drinking Water Research and Demonstration

## Last Save

## CFDA - Title

Last Save	CFDA - Title
09/20/2004	66.507 - Toxic Substances Research
02/22/99	66.508 - Senior Environmental Employment Program
12/09/2003	66.509 - Science to Achieve Results (STAR) Program
01/08/2003	66.510 - Surveys-Studies-Investigations and Special Purpose Grants within the Office of Research and Development
01/08/2003	66.511 - Consolidated Research-Office of Research and Development
05/29/2003	66.512 - Regional Environmental Monitoring and Assessment Program (REMAP)
12/02/2003	66.513 - Greater Opportunities: Fellowship Program
12/11/2003	66.514 - Science to Achieve Results (STAR) Fellowship Program
12/11/2003	66.515 - Greater Opportunities: Research Program
01/16/2004	66.516 - P3 Award: National Student Design Competition for Sustainability
03/07/2005	66.518 - State Senior Environmental Employment Program
02/22/99	66.600 - Environmental Protection Consolidated Grants Program Support
06/22/2005	66.604 - Environmental Justice Small Grants Program for Community Research
06/20/2005	66.605 - Performance Partnership Grants
11/21/2006	66.606 - Surveys - Studies - Investigations and Special Purpose Grants
06/28/2005	66.607 - Training And Fellowship Grants
08/29/2005	66.608 - Environmental Information Exchange Network Grant Program
08/03/2004	66.609 - Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection
01/08/2003	66.610 - Surveys-Studies-Investigations and Special Purpose Grants within the Office of the Administrator
01/02/2003	66.611 - Environmental Policy and Innovation Grants
09/20/2004	66.651 - Sustainable Development Challenge Grants
02/22/99	66.700 - Consolidated Pesticide Compliance Monitoring
02/22/99	66.701 - Toxic Substances Compliance Monitoring
09/20/2004	66.702 - Asbestos Hazard Abatement (School) Asst.
09/20/2004	66.706 - Asbestos Enhancements
06/20/2005	66.707 - State Lead Program Grants
02/22/99	66.708 - Pollution Prevention Incentives States
03/20/2001	66.709 - Capacity Building Grants and Cooperative Agreements for States and Tribes
09/20/2004	66.710 - Environmental Justice Community/Univ
09/20/2004	66.711 - Environmental Justice Through Pollution Prevention
09/20/2004	66.713 - State and Tribal Environmental Justice
08/14/2000	66.714 - Pesticide Environmental Stewardship - Regional Grants (PESP Regional Grants)
01/16/2001	66.715 - Childhood Blood-Lead Screening and Lead Awareness (Educational) Outreach for Indian Tribes
07/14/2005	66.716 - Surveys-Studies-Investigations-Demonstrations-Educational Outreach and Special Projects
01/21/2003	66.717 - Source Reduction Assistance
02/22/99	66.801 - Hazardous Waste Management State Program Support
04/14/2004	66.802 - Superfund State Political Subdivision and Indian Tribe Site Specific Cooperative Agreements
02/22/99	66.804 - State Underground Storage Tanks Program
02/22/99	66.805 - Leaking Underground Storage Tank Trust Fund Program
02/22/99	66.806 - Superfund Technical Assistance Grants
09/20/2004	66.807 - Superfund Innovative Technology Evaluation
02/22/99	66.808 - Solid Waste Management Assistance
03/28/2003	66.809 - Superfund State and Indian Tribe Core Program Cooperative Agreements
08/03/99	66.810 - CEPP Technical Assistance Grants Program
09/22/2006	66.811 - Brownfield Pilots Cooperative Agreements
06/16/2004	66.812 - Tribal Hazardous Waste Grants
06/03/2003	66.813 - Alternative or Innovative Treatment Technology Research-Demonstration-Training and Hazardous Substance R
06/03/2003	66.814 - Brownfields Training - Research and Technical Assistance Grants and Cooperative Agreements
01/02/2003	66.815 - Brownfield Job Training Cooperative Agreements
01/02/2003	66.816 - Headquarter and Regional Underground Storage Tanks Program
01/02/2003	66.817 - State and Tribal Response Program Grants
02/06/2003	66.818 - Brownfields Assessment and Cleanup Cooperative Agreements
09/20/2004	66.925 - State/EPA Data Management Financial Assistance
02/22/99	66.926 - Indian Environmental General Assistance Program
09/20/2004	66.930 - U.S. Mexico Border Grants Program
12/10/2004	66.931 - International Financial Assistance Projects
06/24/2005	66.940 - Environmental Policy and State Innovation Grants
02/22/99	66.950 - Environmental Education & Training Program
06/20/2005	66.951 - Environmental Education Grant Program
01/12/2006	66.952 - National Network for Environmental Education

**Application for Federal Assistance SF-424**

Version 02

**\* 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:**

Completed by Grants.gov upon submission.

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**\* 5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:**

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

**\* c. Organizational DUNS:**

**d. Address:**

**\* Street1:**

**Street2:**

**\* City:**

**County:**

**\* State:**

**Province:**

**\* Country:**

**\* Zip / Postal Code:**

**e. Organizational Unit:**

**Department Name:**

**Division Name:**

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

**Prefix:**

**\* First Name:**

**Middle Name:**

**\* Last Name:**

**Suffix:**

**Title:**

**Organizational Affiliation:**

**\* Telephone Number:**

**Fax Number:**

**\* Email:**

**Application for Federal Assistance SF-424**

Version 02

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

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

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

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

**CFDA Title:**

**\* 12. Funding Opportunity Number:**

**\* Title:**

**13. Competition Identification Number:**

**Title:**

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

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

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

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

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

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

\* a. Federal   
\* b. Applicant   
\* c. State   
\* d. Local   
\* e. Other   
\* f. Program Income   
\* g. TOTAL

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

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

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

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

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

Yes  No

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

\*\* I AGREE

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

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:

\* Date Signed:

**INSTRUCTIONS FOR THE SF-424**

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

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

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

Item	Entry:	Item	Entry:
1.	<b>Type of Submission: (Required):</b> Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• 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.</li> </ul>	10.	<b>Name Of Federal Agency: (Required)</b> Enter the name of the Federal agency from which assistance is being requested with this application.
2.	<b>Type of Application: (Required)</b> Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• 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.  A. Increase Award    B. Decrease Award  C. Increase Duration    D. Decrease Duration  E. Other (specify)</li> </ul>	11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
		12.	<b>Funding Opportunity Number/Title: (Required)</b> Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	14.	<b>Areas Affected By Project:</b> 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.	<b>Descriptive Title of Applicant's Project: (Required)</b> Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of: (Required)</b> 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 5 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• 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.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.	17.	<b>Proposed Project Start and End Dates: (Required)</b> Enter the proposed start date and end date of the project.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:	18.	<b>Estimated Funding: (Required)</b> 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.
	<b>a. Legal Name: (Required):</b> Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.		
	<b>b. Employer/Taxpayer Number (EIN/TIN): (Required):</b> Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		
	<b>c. Organizational DUNS: (Required)</b> 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.		
	<b>d. Address:</b> 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).		
<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the	

	<p>assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	<p>State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		<p>20. <b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
<p>9.</p>	<p><b>Type of Applicant: (Required)</b> Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td data-bbox="175 464 505 919"> <p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 464 833 968"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>	<p>21. <b>Authorized Representative: (Required)</b> 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.</p> <p>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.)</p>
<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>			

**Application for Federal Assistance SF-424**

**Version 02**

**\* 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]

## 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.

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 0348-0044

**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.		\$	\$	\$	\$	\$	
2.							
3.							
4.							
5. Totals		\$	\$	\$	\$	\$	
<b>SECTION B - BUDGET CATEGORIES</b>							
6. Object Class Categories		GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
		(1)	(2)	(3)	(4)		
a. Personnel		\$	\$	\$	\$	\$	
b. Fringe Benefits							
c. Travel							
d. Equipment							
e. Supplies							
f. Contractual							
g. Construction							
h. Other							
i. Total Direct Charges (sum of 6a-6h)							
j. Indirect Charges							
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$	
7. Program Income		\$	\$	\$	\$	\$	

Authorized for Local Reproduction

SECTION C. NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$

SECTION D. FORECASTED CASH NEEDS

	SECTION D. FORECASTED CASH NEEDS				
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

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.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	

SECTION F. OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges:
---------------------	-----------------------

23. Remarks:

**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:

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 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 VIII 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.

- 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 subagreements.
- 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.
- 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 floodplains 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).

- 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.
- 13. Will assist the awarding agency in assuring compliance with 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.).
- 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.
- 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.
- 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.
- 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."
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

GUIDE TO PREPARE BUDGET DETAIL

In addition to completing Standard Form 424A, a separate, detailed budget is required. Please refer to sample budget detail included in this package. Please follow the guidelines listed below.

**Personnel:** List all project participants' titles. Indicate the time percentage that each individual will devote to this project during the entire project period. The budgeted cost should be derived as follows: multiply each person's time percentage by his or her annual salary. Indicate this calculation for each personnel member. The sum of each person's costs should be reflected as total personnel costs. *Record total on Standard Form 424A, Section B, Line A.*

**Fringe Benefits:** Identify the percentage used, the basis for its computation and the types of benefits included. *Record total on Standard Form, 424A, Section B, Line B.*

**Travel:** Indicate the budgeted travel's purpose and the destination of each trip and indicate the number of travelers. *Record total on Standard Form 424A, Section B, Line C.*

**Equipment:** Provide a list of equipment to be purchased. Any equipment over \$5,000 must be itemized. *Record total on Standard Form 424A, Section B, Line D.*

**Supplies:** "Supplies" means all tangible personal property other than equipment. The budget detail should identify categories of supplies to be procured. *Record total on Standard Form 424A, Section B, Line E.*

**Contractual:** Identify each proposed contract and specify its purpose, nature, and estimated cost. *Record total on Standard Form 424A, Section B, Line F.*

**Other:** Itemize all costs included here. Include items here which can not be scheduled in the more specific categories. List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost. *Record total on Standard Form 424A, Section B, Line H.*

**Indirect Costs:** If indirect charges are budgeted, indicate the approved rate and its base. Also, include a copy of your current indirect cost agreement which reflects the approved rate. *Record total on Standard Form 424A, Section B, Line J.*

**Program Income:** If any income is expected to be generated from this project, insert the estimated income amount here. Do not add or subtract this amount from the total project amount. *Record total on Standard Form 424A, Section B, Line 7.*

**SAMPLE**  
**BUDGET DETAIL**

**PERSONNEL:**

<u>Position/Title:</u>	<u>Annual Salary</u>	<u>Percent of Time Assigned to Project</u>	<u>Total</u>
Branch Chef	\$35,208	50%	\$17,604
Secretary	\$13,384	75%	\$10,038
Env. Engineer	\$34,580	100%	\$34,580
Env. Specialist	\$23,842	100%	\$23,842
		SUBTOTAL =	\$120,000

**FRINGE BENEFITS:**

30% of basic salary  
Includes Retirement, Health Insurance,  
Life Insurance, Vacation and Sick time

\$36,000

**TRAVEL:**

**In State Travel**

Travel for meetings and inspections: 200 miles per trip @\$ .25 per mile times 400 trips

\$20,000

**Out of State Travel**

- Per Diem : 5 employees @ \$150 per night ea. times 3 nights \$2,250
- Airfare: 5 employees @ \$350 round trip \$1,750
- Miscellaneous: ground transportation, taxi, tolls etc. \$1,000

SUBTOTAL = \$25,000

**EQUIPMENT:**

2 Level a Protection Clothing and respirator apparatus (unit cost)

\$8,500

SUBTOTAL = \$17,000

**SUPPLIES:**

Office Supplies

\$1,000

Laboratory Supplies

\$2,000

SUBTOTAL = \$3,000

**CONTRACTUAL:**

Consultant services to design data tracking system

\$62,000

**OTHER:**

Telephone

\$9,000

Printing and Reproduction

\$3,000

SUBTOTAL = \$12,000

**INDIRECT COST CHARGES:** \$120,000 times indirect cost rate of .325% =

\$39,000

**GRAND TOTAL PROJECT COST = \$314,000**

## **Work Plan Guidance and Description**

( Attention Applicants: If you are responding to a specific request for an application, please follow the guidance as instructed provided at the website or program office ) When completing your application kit, be sure that the Work Plan is addressed thoroughly. The Work Plan is a detailed description of how the sponsored project is going to be completed. There are several key areas that must be addressed:

1. Environmental Results
2. Description of the Project
  - A. Objective
  - B. Results or benefits expected
  - C. Approach
  - D. General Project Information

---

### **1. ENVIRONMENTAL RESULTS.**

This section is the introductory portion of the Work Plan. Give a summation of how the proposed project will benefit the environment. Provide a description of how your specific project will create a benefit for the environment and create a positive effect. Try to shape this around EPA's mission statement: "To Protect Human Health and the Environment".

### **2. DESCRIPTION OF PROJECT.**

#### **A. Objective:**

- (1) Describe the primary and secondary project objectives
- (2) Identify relevant physical, economic, social, financial, institutional or other problems.
- (3) Include supporting documentation from concerned interests other than the applicant.
- (4) Include and footnote relevant data based on planning studies.

#### **B. Results or benefits expected:**

- Begin by identifying results and benefits that will accrue to the project. Include the benefits that will be accrued to:

- 1) the environment,
- 2) the recipient,
- 3) the population served,
- 5) the general public.

### **C. Approach:**

- (1) Provide a Work Plan that details how the project work will be accomplished and detailing the proposed project. Cite factors that could potentially accelerate or decelerate the project work. Indicate why this approach has been chosen rather than the alternative approaches. Describe any unusual project features such as design or technological innovations, cost or time reductions, or extraordinary social and community involvement.**
- (2) Describe all available facilities for carrying out the project.**
- (3) List all non-Federal funds sources and facilities to be used to perform the proposed project.**
- (4) Provide a chronological schedule of accomplishments, progress, and milestones that are anticipated over the projects duration.**
- (5) Indicate who will carry out each of the work plans elements. Be sure to include supporting agencies, consultants and contractors.**
- (6) Describe sampling and data collection procedures, analytical methods as well as other identified methods for evaluating the project results.**

### **D. General Project Description:**

- (1) Identify the kinds of data to be collected and maintained, and discuss the evaluation criteria for the project's results. Indicate whether research or demonstration will involve human subjects or research animals.**
- (2) Discuss this projects effect, or its relationship to work planned, anticipated, or in process, by the grantee, or Government agencies. Discuss the Federal, state and local programs with which the work will be coordinated, and describe the extent and nature of the**

## INTERGOVERNMENTAL REVIEW PROCESS

When submitting your application for Federal assistance, please observe the following steps pertaining to the intergovernmental review process.

1. Identify whether or not the respective program is eligible for intergovernmental review under Executive Order (E.O.) 12372. A listing of EPA programs which are eligible for intergovernmental review can be found in the April 29, 2004 *Federal Register* (69 FR 23500.) The Catalog of Federal Domestic Assistance (CFDA) also lists programs eligible for intergovernmental review under E.O. 12372. The CFDA listing can be found at <http://www.cfda.gov>, under "Search for Assistance Programs," then "By Programs Requiring Executive Order 12372 Review."
2. After confirming the program's intergovernmental review eligibility, indicate whether your application is subject to the process by responding to the E.O. 12372 question on the SF-424, *Application for Federal Assistance*.
3. If a program is eligible for the intergovernmental review process, you must respond accordingly on the application, and forward a copy of your completed application to your State Single-Point-of-Contact (SPOC). The official SPOC listing is located at: <http://www.whitehouse.gov/omb/grants/spoc.html>. By clicking on the state name, you may be linked to the SPOC website. Before forwarding a copy of your application, you may call the SPOC directly to determine if that office has chosen to review the program.
4. If the SPOC has chosen not to review the program, or if your State does not have a SPOC, you must forward a copy of your completed application to the areawide/regional/local planning agency (or agencies), so that they may have the opportunity to review your application for comment. You may consult your local EPA office to obtain contact information for the planning agency in your area.
5. Keep in mind that once you sign the SF-424, you are certifying that the SPOC or areawide/regional/local planning agency has received or will receive a copy of your application. Your application might be considered deficient if a copy of your application is not forwarded to one of those agencies.
6. The application must be sent to the SPOC or areawide/regional/local planning agency in a timely manner, in order for it to be reviewed before the end of the respective comment period. Under E.O. 12372, the comment period is 60 days for new and competitive awards, and 30 days for non-competing continuation awards.
7. If you subsequently receive comments about your application from the SPOC or areawide/regional/local planning agency, you should forward them immediately to the EPA office (generally the awarding office) where you mailed your application package. Before making a funding decision, EPA is required to consider comments made by the SPOC or planning agency. Therefore, the awarding office may contact you to discuss concerns that may have been raised by the SPOC or planning agency.

**INTERGOVERNMENTAL REVIEW**

**EPA NEW ENGLAND STATE POINT OF CONTACTS**

**MAINE**

State Planning Office  
184 State Street  
38 State House Station  
Augusta, ME 04333  
(207) 287-3261

**NEW HAMPSHIRE**

Office of Energy and Planning  
57 Regional Drive  
Concord, NH 03301-8519  
(603) 271-2155

**RHODE ISLAND**

Department of Administration  
One Capitol Hill  
Providence, RI 02908-5870  
(401) 222-6181

**NOTE**

**CONNECTICUT, MASSACHUSETTS, AND VERMONT** do not have a State Single Point of Contact. See Intergovernmental Review Process paragraph 4.

**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.

\_\_\_\_\_  
Typed Name & Title of Authorized Representative

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date



## DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</b>	<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the 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. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 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 (0348-0046), Washington, DC 20503.

**PLEASE NOTE:** Questions concerning completion of this form should be directed to

 United States Environmental Protection Agency Washington, DC 20460		FORM Approved OMB No. 2090-0014
<b>Preaward Compliance Review Report for          All Applicants Requesting Federal Financial Assistance</b>		
<b>Note:</b> Read instructions on reverse side before completing form.		
I. A. Applicant (Name, City, State)	B. Recipient (Name, City, State)	C. EPA Project No.
II. Brief description of proposed project, program or activity.		
III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? If yes, list those complaints and the disposition of each complaint.		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal agency during the two years prior to this application for activities which would receive EPA assistance? If yes, list those compliance reviews and status of each review.		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If yes, list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why.		
<b>VII. Population Characteristics</b>		<b>Number of People</b>
1. A. Population of Entire Service Area		
B. Minority Population of Entire Service Area		
2. A. Population Currently Being Served		
B. Minority Population Currently Being Served		
3. A. Population to be Served by Project, Program or Activity		
B. Minority Population to be Served by Project, Program or Activity		
4. A. Population to Remain Without Service		
B. Minority Population to Remain Without Service		
VIII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and usable by handicapped persons? If no, explain how a regulatory exception (40 CFR 7.70) applies.		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
IX. Give the schedule for future projects, programs or activities (or of future plans), by which services will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why.		
X. 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.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
<b>For the U.S. Environmental Protection Agency</b>		
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved		Authorized EPA Official
		Date

EPA Form 4700-4 (Rev. 1/90) Previous editions are obsolete.

General

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

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 title 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 handicapped individual shall solely by reason of handicap be excluded from participation in, be denied the benefit of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of handicap 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 on the basis of sex shall be excluded from participation in, be denied the benefit 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.

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.

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 certain questions, EPA program officials should be contacted for clarification.

EPA FORM 4700-4 (Rev. 1/90) Reverse

- IA. "Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance.
- IB. "Recipient" means any entity, other than applicant, which will actually receive EPA assistance.
- IC. Self-explanatory.
- II. Self-explanatory.
- III. "Civil rights lawsuits" means any lawsuit or complaint alleging discrimination on the basis of race, color, national origin, sex, age, or handicap pending against the applicant and/or entity which actually benefits from the grant. 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.
- IV. "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 handicap. If any part of the review covered the entity which will actually benefit from the grant, it should be listed.
- V. Self-explanatory.
- VI. The word "community" refers to the area under the applicant's and/or recipient's jurisdiction. The "community" might be a university or laboratory campus, or a community within a large city. If there is significant disparity between minority and nonminority populations to receive service, not otherwise satisfactorily explained, the Regional office may require a map which indicates the minority and nonminority population served by this project, program or activity.
- VII. This information is required so that reviewers may determine if a disparity in the proposed provision of services will exist in the event the application is approved for funding. Give population of recipient's jurisdiction, broken out by categories as specified.
- In the event the applicant cannot provide the requested information because the funds will be distributed over a wide demographic area which is yet to be determined, an explanation may be provided on a separate sheet. For example, a State applying for a capitalization grant under the State Revolving Fund program may not know which cities and counties will apply for, and receive, SRF loans.
- VIII. Self-explanatory.
- IX. "Jurisdiction" means the geographical area over which applicant has the authority to provide service.
- X. Self-explanatory.

"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 Chief, Information Policy Branch, PM-223, U.S. Environmental Protection Agency, 401 M Street, S.W., Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

**NOTE: Required ONLY if applying for Superfund assistance programs.**

 UNITED STATES ENVIRONMENTAL PROTECTION AGENCY WASHINGTON, DC 20460		Form Approved OMB No. 2000-0453
<b>PROCUREMENT SYSTEM CERTIFICATION</b>		
APPLICANT'S NAME		ASSISTANCE APPLICATION NUMBER
APPLICANT'S ADDRESS		
<b>SECTION I - INSTRUCTIONS</b>		
<p>The applicant must complete and submit a copy of this form with each application for EPA Assistance. If the applicant has certified its procurement system to EPA within the past 2 years and the system has not been substantially revised, complete Part A in Section II, then sign and date the form. If the system has not been certified within the past 2 years, complete Part B, then sign and date the form.</p>		
<b>SECTION II - CERTIFICATION</b>		
A. I affirm that the applicant has within the past 2 years certified to EPA that its procurement system complies with 40 CFR Part 35 and that the system meets the requirements in 40 CFR Part 35. The date of the applicant's latest certification is:		MONTH/YEAR
B. Based upon my evaluation of the applicant's procurement system, I, as authorized representative of the applicant: <i>(Check one of the following):</i>		
<input type="checkbox"/> 1. <b>CERTIFY</b> that the applicant's procurement system will meet all of the requirements of 40 CFR Part 35 before undertaking any procurement action with EPA assistance.		
Please furnish citations to applicable procurement ordinances and regulations		
<input type="checkbox"/> 2. <b>DO NOT CERTIFY THE APPLICANT'S PROCUREMENT SYSTEM.</b> The applicant agrees to follow the requirements of 40 CFR Part 35, including the procedures in Appendix A, and allow EPA preaward review of proposed procurement actions that will use EPA assistance.		
TYPED NAME AND TITLE	SIGNATURE	DATE

EPA Form 5700-48 Previous edition is obsolete

**See instructions on reverse side**

**INSTRUCTIONS FOR  
PROCUREMENT SYSTEM CERTIFICATION  
(EPA Form 5700-48)**

**Section II - Certification**

**Applicant must complete one of the following areas:**

- A. Give the Month and Year**
- B. Check Block 1 or 2**

**If Block 1 is checked, please furnish citations to applicant's applicable procurement ordinances and regulations.**

**This form must be signed by the applicant's authorized official.**

**40 CFR Part 35 Subpart O applies to Superfund recipients.**

RECIPIENTS APPLICATION KIT  
QUALITY ASSURANCE REQUIREMENTS

For grants involving environmental programs, EPA assistance agreement recipients must implement or have implemented a quality system. Environmental programs include direct measurements or data generation, environmental modeling, compilation of data from literature or electronic media, and data supporting the design, construction, and operation of environmental technology. A quality system provides the framework for planning, implementing, and assessing the work performed by an organization and for carrying out required quality assurance (QA) and quality control (QC) activities.

All applicants for EPA assistance shall submit a Quality Management Plan (QMP) prepared in accordance with *EPA Requirements for Quality Management Plans* (EPA QA/R-2), 5/06 or documentation determined by EPA to be equivalent to R-2, which describes the quality system implemented by the applicant. The QMP must be reviewed and approved by EPA as a condition for award of any assistance agreement.

QAPPs must be prepared in accordance with *EPA Requirements for Quality Assurance Project Plans* (EPA QA/R-5), 5/06 and/or the *EPA New England Project Plan Program Guidance*, 4/05 or the most current version. QAPPs must be reviewed and approved by EPA before any environmental program activities begin.

EPA QA/R-2 and R-5 can be found at [http://www.epa.gov/quality/qa\\_docs.html#noneparqt](http://www.epa.gov/quality/qa_docs.html#noneparqt). The *EPA New England Quality Assurance Project Plan Program Guidance* can be found at <http://epa.gov/ne/lab/qa/pdfs/QAPPProgram.pdf>. In addition, an on-line powerpoint training module is available to grantees who are preparing Quality Assurance Project Plans for the first time. The module, **Beginner's Guide to Preparing Quality Assurance Project Plans for Environmental Projects**, is available at <http://epa.gov/ne/lab/qa/training.html>. Presented in two parts, the training module answers some frequently asked questions about QAPPs and provides basic guidance on what information to include in a QAPP.

**Part 1: PPT (335 KB)** Answers some frequently asked questions about QAPPs. Associated "Speaker notes for Part 1". PDF (40 KB)

**Part 2: PPT (730 KB)** Describes QA/QC and project information to include in a QAPP. Associated "Speaker notes for Part 2". PDF (35 KB)





## **Applicable EPA Regulations and Description**

### **ENVIRONMENTAL PROTECTION AGENCY REGULATIONS AND DESCRIPTION**

(If you should need a copy of the following regulations, you may access a copy through the World Wide Web at [http://www.epa.gov/ogd/grant\\_regulations\\_and\\_policies.htm](http://www.epa.gov/ogd/grant_regulations_and_policies.htm) .

- **40 CFR Parts 7 and 12 - NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE ENVIRONMENTAL PROTECTION AGENCY**

This rule implements statutes which prohibit discrimination on the grounds of race, color, national origin, sex and handicap.

No person shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving EPA assistance on the basis of race, color, national origin, or on the basis of sex in any program or activity receiving EPA assistance under the Federal Water Pollution Control Act, as amended, including the Environmental Financing Act of 1972.

- **40 CFR Part 29 - INTERGOVERNMENTAL REVIEW OF THE ENVIRONMENTAL PROTECTION AGENCY PROGRAMS AND ACTIVITIES**

(a) The regulations in this part implement Executive Order 12372, "Intergovernmental Review of Federal Programs," issued July 14, 1982, and amended, on April 8, 1983. These regulations also implement applicable provisions of section 401 of the Intergovernmental Cooperation Act of 1968, as amended and section 204 of the Demonstration Cities and Metropolitan Development Act of 1966, as amended.

(b) These regulations are intended to foster an intergovernmental partnership and a strengthened federalism by relying on State processes and on State, areawide, regional and local coordination for review of proposed Federal financial assistance and direct Federal development.

(c) These regulations are intended to aid the internal management of the Environmental Protection Agency (EPA) and are not intended to create any right or benefit enforceable at law by a party against EPA or its officers.

You must contact your State's Single Point of Contact to find out if the program was selected for coverage by the State process and, if the program was selected, to receive information about your State's review process requirements and procedures. If you do not know whom your Single point of Contact is, please call (202) 564-5305.

- **40 CFR Part 30 - GENERAL REGULATION FOR ASSISTANCE PROGRAMS FOR ALL APPLICANTS CONSIDERED: INSTITUTIONS OF HIGHER LEARNING, HOSPITALS AND OTHER NONPROFIT ORGANIZATIONS.**

This subpart establishes uniform administrative requirements for Federal grants and agreements awarded to institutions of higher education, hospitals, and other non-profit organizations. The Environmental Protection Agency (EPA) may not impose additional or inconsistent requirements, except as provided in Sections 30.4, and 30.14 or unless specifically required by Federal statute or Executive Order. Non-profit organizations that implement Federal programs for the States are also subject to State requirements.

- **40 CFR Part 31 - UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS**

This part establishes uniform administrative rules for Federal grants and cooperative agreements and subawards to State, local and Indian tribal governments.

- **40 CFR Part 32 - GOVERNMENT WIDE DEBARMENT AND SUSPENSION (NONPROCUREMENT) AND GOVERNMENT WIDE REQUIREMENTS FOR DRUG-FREE WORKPLACE (GRANTS); CLEAN AIR ACT AND CLEAN WATER ACT INELIGIBILITY OF FACILITIES IN PERFORMANCE OF FEDERAL CONTRACTS, GRANTS AND LOANS**

Executive Order (E.O.) 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government wide system for non-procurement debarment and suspension. A person who is debarred or suspended shall be excluded from Federal financial and nonfinancial assistance and benefits under Federal programs and activities. Debarment or suspension of a participant in a program by one agency shall have governmentwide effect.

a) The purpose of this subpart is to carry out the Drug-Free Workplace Act of 1988 by requiring that-- (1) A grantee, other than an individual, shall certify to the agency that it will provide a drug-free workplace; (2) A grantee who is an individual shall certify to the agency that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant. (b) Requirements implementing the Drug-Free Workplace Act of 1988 for contractors with the agency are found at 48 CFR subparts 9.4, 23.5, and 52.2.

- **40 CFR Part 34 - NEW RESTRICTIONS ON LOBBYING**

This rule is in response to section 319 of Public Law 101-121. Section 319 prohibits recipients of Federal contracts, grants and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant or loan.

- **40 CFR Part 40 - RESEARCH AND DEMONSTRATION GRANTS**

This part establishes mandatory policies and procedures for all EPA research and demonstration grants. These provisions establish and codify policies and procedures governing the award of research and demonstration grants by the Environmental Protection Agency.

- **40 CFR Part 45 - TRAINING ASSISTANCE**

This part establishes the policies and procedures for the award of training assistance by the Environmental Protection Agency (EPA). The provisions of this part supplement EPA's "General Regulation for Assistance Programs,".

- **40 CFR Part 47 - NATIONAL ENVIRONMENTAL EDUCATION ACT GRANTS AND COOPERATIVE AGREEMENTS.**

This regulation codifies policy and procedures for the award of grants or cooperative agreements under section 6 of the National Environmental Education Act (NEEA).

Specifically, this regulation defines eligible applicants, eligible activities, EPA priorities for selecting recipients, funding limits, and matching requirements. Projects funded under this regulation are also subject to the Code of Federal Regulations (40 CFR) part 31 for State and local recipients, and part 30 for other than State and local recipients. Those regulations contain Federal audit and other general administrative requirements. This regulation does not apply to the programs implemented under sections 5 and 7 of the NEEA.



## **Obtaining a DUNS Number**

### **A Guide for Federal Grant and Cooperative Agreement Applicants**

The Federal government requires that all applicants for Federal grants and cooperative agreements with the exception of individuals other than sole proprietors, have a DUNS number. (See policy at: [http://www.omb.gov/grants/grants\\_docs](http://www.omb.gov/grants/grants_docs)). The Federal government will use the DUNS number to better identify related organizations that are receiving funding under grants and cooperative agreements, and to provide consistent name and address data for electronic grant application systems.

#### **Data Universal Number System (DUNS) Number**

- The Data Universal Numbering System (DUNS) number is a unique nine-digit identification number provided by Dun & Bradstreet (D&B).
- The DUNS Number is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS number. Organizations should try and keep DUNS numbers to a minimum. In many instances, a central DUNS number with a DUNS number for each major division/department/agency that applies for a grant may be sufficient.
- In order to provide on-the-spot DUNS number assignment, the requestor should do this by telephone. (See telephone number below.)

#### **Obtaining a DUNS Number**

- You should verify that you have a DUNS number or take the steps needed to obtain one as soon as possible, if there is a possibility you will be applying for future Federal grants or cooperative agreements. There is no need to wait until you are submitting a particular application.
- *If you already have a DUNS number.* If you, as the entity applying for a Federal grant or cooperative agreement, previously obtained a DUNS number in connection with the Federal acquisition process or requested or had one assigned to you for another purpose, you should use that number on all of your applications. It is not necessary to request another DUNS number from D&B. You may request D&B to supply a family-tree report of the DUNS numbers associated with your organization. Organizations should work with D&B to ensure the right information is on the report. Organizations should not establish new numbers, but use existing numbers and update/validate the information associated with the number.
- *If you are not sure if you have a DUNS number.* Call D&B using the toll-free number, 1-866-705-5711 and indicate that you are a Federal grant applicant/prospective applicant. D&B will tell you if you already have a number. If you do not have a DUNS number, D&B will ask you to provide the information listed below and will immediately assign you a number, free of charge.
- *If you know you do not have a DUNS number.* Call D&B using the toll-free number, 1-866-705-5711 and indicate that you are a Federal grant applicant/prospective applicant. D&B will ask you to provide the information listed below and will immediately assign you a number, free of charge.

### Managing Your DUNS Number

- D&B periodically contacts organizations with DUNS numbers to verify that their information is current. Organizations with multiple DUNS numbers may request a free family tree listing from D&B to help determine what branches/divisions have numbers and whether the information is current. Please call the dedicated toll-free DUNS Number request line at 1-866-705-5711 to request your family tree.
- D&B recommends that organizations with multiple DUNS numbers have a single point of contact for controlling DUNS number requests to ensure that the appropriate branches/divisions have DUNS numbers for Federal purposes.
- As a result of obtaining a DUNS number you have the option to be included on D&B's marketing list that is sold to other companies. If you do not want your name/organization included on this marketing list, request to be de-listed from D&B's marketing file when you are speaking with a D&B representative during your DUNS number telephone application.

Obtaining a DUNS number is absolutely Free for all entities doing business with the Federal government. This includes grant and cooperative agreement applicants/prospective applicants and Federal contractors. Be certain that you identify yourself as a Federal grant applicant/prospective applicant.

### To Obtain Your DUNS Number

- Please call the dedicated toll-free DUNS Number request line for Federal grant and cooperative agreement applicants or prospective grant applicants at:

**1-866-705-5711**

The number is staffed from 8 a.m. to 6 p.m. (local time of the caller when calling from within the continental United States) Calls placed to the above number outside of those hours will receive a recorded messages requesting the caller to call back between the operating hours.

- The process to request number takes about 5-10 minutes.
- A DUNS number will be assigned at the conclusion of the call.
- You will need to provide the following information:
  - Legal Name
  - Headquarters name and address for your organization
  - Doing business as (DBA) or other name by which your organization is commonly known or recognized
  - Physical Address, City, State and Zip Code
  - Mailing Address(is separate from Headquarters and/or physical address)
  - Telephone Number
  - Contact Name and Title
  - Number of Employees at your physical location

**CHECKLIST**

**APPLICATION ITEMS TO BE SUBMITTED**

SF-424 APPLICATION FOR FEDERAL ASSISTANCE

SF-424A BUDGET INFORMATION

SF-424B ASSURANCES

EPA-5700-48 PROCUREMENT SYSTEM CERTIFICATION (SUPERFUND ONLY)

EPA-4700-4 PREAWARD COMPLIANCE REVIEW REPORT

CERTIFICATION REGARDING LOBBYING (IF APPLYING FOR MORE THAN \$100,000)

PROJECT NARRATIVE STATEMENT (WORKPLAN)

DETAILED ITEMIZED BUDGET

INDIRECT COST RATE AGREEMENT (IF APPLICABLE)

QUALITY ASSURANCE NARRATIVE STATEMENT (IF APPLICABLE)

NONPROFIT TAX STATUS (IRS LETTER)

**MAIL COMPLETED APPLICATION TO:**

U.S. ENVIRONMENTAL PROTECTION AGENCY  
GRANTS MANAGEMENT OFFICE  
1 CONGRESS STREET, SUITE 1100-MGM  
BOSTON, MA 02114-2023

(ORIGINAL AND ONE COPY)

