

HOW TO COMPLETE YOUR APPLICATION FOR FEDERAL ASSISTANCE

(Standard Form 424)

Based on the inquiries we frequently receive, we have developed the following information to augment the instructions in the "Application for Federal Assistance" (Standard Form 424). Reading this information in conjunction with the instructions on the application form will speed up the preparation of your application and will reduce our processing time on your application. The grant award will contain Terms and Conditions that you should read very carefully. In addition, you should familiarize yourself with the applicable EPA regulations.

Following are items requiring special attention in the preparation of your application:

- (1) The "Application for Federal Assistance" (Standard Form 424) face page with accompanying instructions;
- (2) The Narrative Description of the Program/Project;
- (3) The "Budget Information - Non-Construction Programs" (Standard Form 424A with accompanying instructions); and
- (4) The "Assurances - Non-Construction Programs" (Standard Form 424B). The authorized certifying official **must** sign and date the reverse side of the "Assurances - Non-Construction Programs".

PART I, Application for Federal Assistance (SF-424):

Item 8 - Applicant Information:

- **Question 8.a.** Please note that only the legal name of the eligible organization should be entered (not the applicant and/or partner's name). We will not accept applications with joint legal names appearing in this box. EPA awards assistance agreements to a single eligible entity.

If the "name and telephone number of the person to be contacted for matters involving this application" are different from the Project Manager's, i.e., the person who will be our contact for technical matters if the application is funded, please provide the name, title, address, e-mail address and telephone number of the Project Manager on the key contact list.

In addition, for other than State, local government and Indian Tribe grants, please submit a biographical sketch of the Project Manager incorporating information on education, background, and other qualifying experience for the project. Also list the name and training or discipline of other key personnel engaged in the project. Identify other projects in which the Project Manager is engaged and the amount of time he or she devotes to each. Provide a summary of employment, including contracts and consultancies for the present and for the past two years for the Project Manger and each of the key personnel.

Grant applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering

System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003.

The Office of Management and Budget (OMB) has determined that there is a need for improved statistical reporting of Federal grants and cooperative agreements. Use of the DUNS number government-wide will provide a means to identify entities receiving awards and their business relationships. The DUNS number will be used for tracking purposes, and to validate address and point of contact information. It will supplement other identifiers required by statute or regulation, such as tax identification numbers.

Central Contractor Registration (CCR) Database:

Under this new requirement, Federal agencies must require applicants to have a DUNS and Bradstreet Data Universal Numbering System (DUNS) number and maintain current registrations in the [Central Contractor Registration \(CCR\) database](#). In addition, if a recipient is authorized to make subawards under its grant, it may make subawards only to entities that have DUNS numbers. The requirements are effective for all awards made on, or after, October 1, 2010. Please be aware that your organization's identification information in DUNS must be consistent with the information provided for your CCR registration. Otherwise, your assistance application will be flagged with an error and may result in a delay in awarding your assistance agreement until the discrepancies are corrected.

Please Note: The legal name appearing on the application must be consistent with the DUNS and CCR registration information. Otherwise, the submitted application will be flagged with an error and this may result in a delay in processing the assistance application until the discrepancies are corrected.

Organizations can receive a DUNS number in one day, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711. Business hours are from 8:00 a.m. to 6:00 p.m. (local time of the caller when calling from within the continental United States). The process to request number takes about 5-10 minutes. A DUNS number will be assigned at the end 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 (if separate from Headquarters and/or physical address)
- Telephone Number
- Contact Name and Title
- Number of Employees at your physical location

Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or nonprofit organization they may operate are exempt from this requirement. The website where an organization can obtain a DUNS number is: <http://www.dnb.com>. This takes 30 business days and there is no cost unless the organization requests expedited (1-day) processing, which includes a fee. Please refer to the website for details about fees and options available.

Item 9 - Type of Applicant:

EPA awards grants to only one eligible entity. Therefore, the applicant type of only the eligible organization whose legal name appears in box 8a of the SF-424 should be selected.

Item 11 - Catalog of Federal Domestic Assistance Number:

Insert the Catalog of Federal Domestic Assistance Number and Title. This catalog is available at local libraries and contains information regarding federal grant programs. EPA grants begin at 66.001 in this catalog (<https://www.cfda.gov>).

Item 15 - Descriptive Title of Applicant's Project:

A brief description of the proposed project or program for which assistance is requested [**A detailed description of the program/project is also required to be submitted with the Application for Federal Assistance and is discussed further in these instructions under DESCRIPTION OF THE PROGRAM/PROJECT.**]

Item 16 - Congressional Districts Of:

List the specific congressional district(s) for both the applicant and the project. Indicate statewide if project affects the entire State. See SF-424 instructions for the format for entering this information.

Item 17 - Proposed Project:

The "Start Date" and "Ending Date" should reflect the amount of time that will be required to complete the entire scope of work in your application, i.e., the project/budget period. The start date should be at least sixty days succeeding the submittal date of the final application package to allow time for review and processing. Where pre-award costs are allowed and the applicant has included eligible pre-award costs in the application budget, the project period start date should be consistent with the date when your organization started to incur the costs. Please be aware that pre-award costs are subject to EPA approval and you incur pre-award costs at your own risk. Also, the project period duration must be consistent with the requirements stated in the funding opportunity announcement and must comply with the requirements of EPA statutes, regulations and policies as applicable.

Item 18 - Estimated Funding (\$):

The amounts under "Estimated Funding" are the amounts required, or to be contributed, during the budget and project periods.

Item 19 - Is the Application Subject to Review By State Under E.O. 12372 Process:

State Executive Order 12372 process Intergovernmental review. This item must be completed in order to be considered for assistance with EPA.

Item 20 – Is the Applicant Delinquent On Any Federal Debt:

This item must be completed in order to be considered for assistance with EPA.

Item 21 - Signature:

The Name, Title, and Telephone Number of the Authorized Representative, i.e., the person, who has authority to execute the Agreement on behalf of the applicant.

If EPA awards a grant or cooperative agreement pursuant to your application, we will mail the official copies of the award agreement to the authorized representative listed in Item 21.

PART II, Guidance for Workplan Narrative: Description of the Program/Project:

Your application must include a workplan narrative that is consistent with the requirements stated in the funding opportunity announcement (if applicable), the applicable EPA grant regulations, policies and national program guidance. Therefore, if you are submitting an application in response to competitive funding opportunity, please be sure to follow the instructions provided in the announcement and/or by the EPA program office conducting the competition. States, Tribes, Interstate Agencies and other EPA-notified organizations that are applying for non-competitive awards must submit workplans that comply with the requirements stated at [40 CFR 35.107](#) and [40 CFR 35.507](#), as applicable. The summary provided below is intended only as a general guideline for workplan content.

Note: Please be aware that EPA's policy, titled Grants Policy Issuance (GPI)11-03, State Grant Workplans and Progress Reports becomes effective for any assistance agreements awarded by EPA after October 1, 2012. We encourage State applicants who apply for funding under one or more of the fourteen categorical grant programs listed in the attachment to this policy to become familiar with the workplan requirements stated in the policy. A copy of the policy is available on EPA's website at: http://www.epa.gov/ogd/grants/final_grants_policy_issuance_11_03_State_Grant_Workplans.pdf

1. **OBJECTIVE:** Describe the principal and subordinate objectives of the program/project. This should include relevant physical, economic, social, financial, institutional, or other problems requiring solution. Supporting documents from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included and footnoted.
2. **RESULTS OR THE BENEFITS EXPECTED:** Identify results and/or benefits accruing from the program/project. All workplans need to show environmental results in terms of measurable outputs and outcomes to the extent possible. [Important: include all primary and secondary benefits accruing to the Recipient, the population served, the public served, the public and the environment in general]; for example: compliance with water quality standards or ambient air quality standards, advancements in the state of the art of pollution abatement, etc. For further information about EPA's policy on environmental results, please visit: <http://www.epa.gov/ogd/grants/assistance.htm>
3. **APPROACH:** A detailed work plan must be provided which includes:

- a) How the program/project will be accomplished. Factors should be cited which might accelerate or decelerate the work activities. Describe why the approach has been taken rather than alternatives. Include a description of any unusual features of the project such as design or technological innovations, reductions in cost or time or extraordinary social and community involvement.
- b) Describe all facilities presently available for use in carrying out the project.
- c) List, by name, all non-Federal sources of funds and facilities to be utilized in the performance of the proposed program/project.
- d) List, in chronological order, a schedule of accomplishments, progress, or milestones that are anticipated over the length of the program/project.
- e) Indicate by whom each element of the work plan will be carried out including supporting agencies, consultants and contractors.
- f) Describe sampling and data collections procedures analytical methods, and methods for evaluating the results and successes of the project.

4. GENERAL PROGRAM/PROJECT INFORMATION:

- a) Identify the kinds of data to be collected (and maintained) and discuss the criteria to be used to evaluate the results and successes of the project.
- b) Discuss the following:
 - 1. the effect of this program/project on, or its relationship to, other work planned, anticipated, or underway by the grantee, recipient of the funds, or other government agencies;
 - 2. Federal, State, interstate and local programs with which the work will be coordinated and the extent and nature of the coordination.

5. **QUALITY ASSURANCE REQUIREMENT:** If your program/project involves environmentally related measurements, data generation or data use, you are required to develop and implement quality assurance practices sufficient to produce data of known quality, adequate to meet program/project objectives and to minimize loss of data due to out-of-control conditions or malfunctions. Applicants must either submit a Quality Assurance Plan or have a current one on file with EPA Region 2's Quality Assurance Manager.

Applicants, who are State, Local or Indian Tribal governments, see EPA regulations 40 CFR 31.45. Other applicants see EPA regulations 40 CFR 30.54. If you are unsure whether your program/project is subject to the Quality Assurance requirements, please communicate with your Region 2 EPA Contact.

QMP Condition (Used for large grantees with multiple projects)

Grantees implementing environmental programs that include: 1) direct measurement, sampling or observation activities, 2) environmental modeling, 3) use of existing data, 4) use of survey results, or 5) calculation of environmental outcomes must prepare and implement a Quality

Management Plan. The grantee shall submit to the EPA Project Officer (PO) an approvable QMP within 45 days of receipt of this agreement. The PO will forward the QMP to the EPA QA staff for review and approval. No data collection/use activities may occur until the QMP has been reviewed and approved by EPA.

QAPP Condition

Grantees implementing environmental projects that include: 1) direct measurement, sampling or observation activities, 2) environmental modeling, 3) use of existing data, 4) use of survey results, or 5) calculation of environmental outcomes must prepare and implement a Quality Assurance Project Plan (QAPP). The grantee shall submit to the EPA Project Officer (PO) an approvable QAPP within 45 days of receipt of this agreement. The PO will review the QAPP to insure that it meets programmatic needs, is consistent with the approved workplan and includes all of the required QAPP elements. Once approved by the EPA PO, the QAPP is forwarded to the EPA QA staff for review and approval. No data collection/use activities may occur until the QAPP has been reviewed and approved by EPA.

PART III, Budget Information (SF-424A):

BUDGET A complete budget must be submitted in order to be considered for federal assistance. The application includes a two-page sheet, "Budget Information-Non-Construction Programs" (Standard Form 424A), Sections A through F. Please be sure to complete Sections A, B, and F.

Section B: If your application contains more than one program/project, a budget breakdown is required for each individual program/project. Budget information must include both the Federal funds requested plus any appropriate Recipient matching/cost share. Column 5, TOTAL, should be cumulative amounts (Federal and non-Federal) for the program/project.

A budget detail/narrative section should be included with your Application which includes a breakdown of Section B, Budget Categories. The detail/narrative section must demonstrate that all costs are eligible, allocable, allowable and necessary and should be set up as follows:

Line A - Personnel:

Provide a list of all positions, (either titles, such as environmental engineer, executive director, secretary; or types such as professional, nonprofessional, clerical), average salaries, # of Full Time Employees (FTE) or hours, and total salary costs for each. If you are listing positions by category please identify the positions that will be included in each.

Example if listing by title: Environmental Engineer, 3.5 FTE, \$51,429/FTE, \$180,000

Example if listing by type: Professional (engineers, scientists, technicians), .25 FTE, \$100,000/FTE, \$25,000

Line B - Fringe Benefits:

Identify percentage(s) and apply percent to estimated personnel costs. You must include a list of what is included such as FICA, Vacation Time, Sick Leave, Health Benefits, etc.

Line C - Travel:

Specify the mileage, per diem, estimated number of trips In-State and Out-of-State, and other costs for each type of travel. Travel information should be provided as follows:

Routine: information on planned trips which are performed on a regular basis for the program

Special: itemized list of planned trips for special conferences, seminars, and meetings.

International: (may require special approval)

Line D - Equipment:

Identify each item to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year. Items with a unit cost of less than \$5,000 are deemed to be supplies, pursuant to [40 CFR PART 31.3](#) and [40 CFR PART 30.2](#).

If your organization has established an equipment capitalization threshold different than the Federal threshold of \$5,000, identify that threshold here. Provide itemized information on all planned equipment purchases with a unit price at or above your organization's threshold or \$5,000, whichever is less, by the following categories: Item Description, Purpose, Estimated Unit Cost and Quantity; For Superfund awards under CERCLA §104(d)(1), additional requirements for equipment purchases, tracking, and disposition are contained in [40 CFR Part 35 Subpart O](#).

For further guidance on procuring goods and services under EPA assistance agreements, please visit: <http://www.epa.gov/ogd/grants/nonprofit/supply.htm>

Line E - Supplies (Must be Tangible Goods):

Identify estimated costs for major supply categories, such as office supplies, lab supplies, field materials, computer supplies, training, etc. Provide information on total planned equipment purchases with a unit cost of less than the equipment threshold identified in Line D above.

For Superfund awards under CERCLA §104(d)(1), additional requirements for supplies purchases, tracking, and disposition are contained in [40 CFR Part 35 Subpart O](#).

For further guidance on procuring goods and services under EPA assistance agreements, please visit: <http://www.epa.gov/ogd/grants/nonprofit/supply.htm>

Line F - Contractual:

Specify the nature and cost of each proposed contract. You must specify whether or not the proposed contract(s) will be competed. If a single source is to be used, a statement needs to be provided indicating this is allowable under your procurement procedures. A justification as to why it cannot/should not be competed must also be provided.

For Superfund awards under CERCLA §104(d)(1), additional requirements for contracting methods, approvals, and contract documents are contained in [40 CFR Part 35 Subpart O](#), and for Superfund Technical Assistance Grant (TAG) awards under CERCLA §117(e), additional requirements for contracting methods, approvals, and contract documents are contained in [40 CFR Part 35 Subpart M](#). Both of these grant programs require written approval from the EPA Award Official prior to using noncompetitive contracting methods, and the TAG program has its own separate Application Kit which can be obtained by contacting the EPA Region 2 Grants Office at (212)637-3402.

For further guidance on procuring goods and services under EPA assistance agreements, please visit: <http://www.epa.gov/ogd/grants/nonprofit/supply.htm>

Line G - Construction:

If construction costs are anticipated, you must contact the Grants and Contracts Management Branch for additional instructions prior to completing your application.

Line H - Other:

Specify and explain the need for all costs included under this category. Your itemization of "Other" should include a breakdown of costs for items such as insurance and indemnification, advertising and public relations, stipends, space rental, telephone, utilities, trainee tuition and fees, book allowances, rental of equipment or supplies, printing, publication and postage. For direct costs that are split funded among multiple agreements a cost allocation plan must developed and submitted to EPA for approval. Additional information on how to prepare a cost allocation plan can be found at <http://www.epa.gov/ogd/recipient/sample1.htm>.

Line I - Total Direct Costs:

The total direct costs charged to the program/project, sum of lines A through H.

Line J - Indirect Costs:

Provide an explanation of how indirect charges were calculated for the program/project. For example, is the indirect cost rate based on just Personnel, Personnel and Fringe, or all direct costs. [See below].

Section F: If your application contains INDIRECT COSTS, Section F of the SF424a MUST be completed. Please identify the type of indirect cost rate (provisional, predetermined, final or fixed) in the REMARKS column. Also identify the rate which will be in effect during the budget period, the base to which the rate is to be applied, and the Federal Agency with whom your rate is negotiated.

IMPORTANT: To have Indirect Costs included in an assistance agreement one of the following must be included with your application:

1. A current Negotiated Indirect Cost Rate approved by a Federal agency
2. Proof of a submitted indirect cost rate proposal to the cognizant Federal agency
3. Nonprofit organizations have 90 days from the date their agreement was awarded to submit an indirect cost rate proposal

If your organization does not have a negotiated rate and EPA is the cognizant Federal agency, your indirect cost proposal must be sent to the appropriate address below. For additional information on how to prepare an indirect cost rate proposal please refer to the Sample Indirect Cost Proposal page <http://www.epa.gov/ogd/recipient/sample1.htm>.

NON-PROFIT GROUPS, HOSPITALS AND UNIVERSITIES:

Grants Administration Division
Office of Grants and Debarment
U.S. Environmental Protection Agency
1200 Pennsylvania Avenue, NW, MC 3903R
Washington, DC 20460
Attn: Indirect Cost Rate Proposal Control Desk

INDIAN TRIBAL GOVERNMENTS

National Business Center

Indirect Cost Services
U.S. Department of the Interior
2180 Harvard Street, Suite 430
Sacramento, CA 95815-3317

STATE AGENCIES

Financial Analysis and Rate Negotiation Service Center
Office of Acquisition Management
U.S. Environmental Protection Agency
1200 Pennsylvania Avenue, NW, MC 3802R
Washington, DC 20460

PART IV, Assurances (SF-424B):

As an applicant for Federal Financial Assistance, you must assure that you will comply with applicable federal statutes, Executive Orders, regulations and policies governing the program/project. Your application cannot be considered for federal funding without this executed document.