



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY WASHINGTON, D.C. 20460

Dear Applicant:

OFFICE OF ADMINISTRATION AND RESOUCES MANAGEMENT

Attached is an application kit for submitting a proposal to the Environmental Protection Agency for federal assistance. In order to assist you in completing your application, we have developed a list of items in the application kit and a brief description of each. We also have included a check list of items that must be submitted in order to make your submission complete. Before you mail your application, please be sure it is complete. Our mailing address is included in the application kit for your convenience. Also, the page entitled "Key Contacts" is very important to ensure that we work with the proper individuals in your organization.

You need to consider whether your proposal is for acquisition or assistance. The SF 424 is only used for submitting proposals for federal assistance. The Federal Grant and Cooperative Agreement Act requires Federal agencies to use a contract to acquire property or services for the direct benefit of the Federal government, and a grant or cooperative agreement to transfer money, property, services, or anything else of value to support or stimulate an activity to accomplish a public purpose of assistance authorized by Federal statute.

The determining factor in choosing acquisition versus assistance is defining the direct beneficiary. If the direct beneficiary is a State or local government or other recipient, and the purpose of support or stimulation is authorized by Federal statute, then a grant or cooperative agreement is the proper legal instrument to use. If the direct beneficiary is EPA, then a contract is the appropriate legal instrument to use and the submission of SF 424 is inappropriate.

If you have any questions about completing your application or have general inquiries about EPA's assistance programs, please feel free to contact my staff on area code (202) 260-9266.

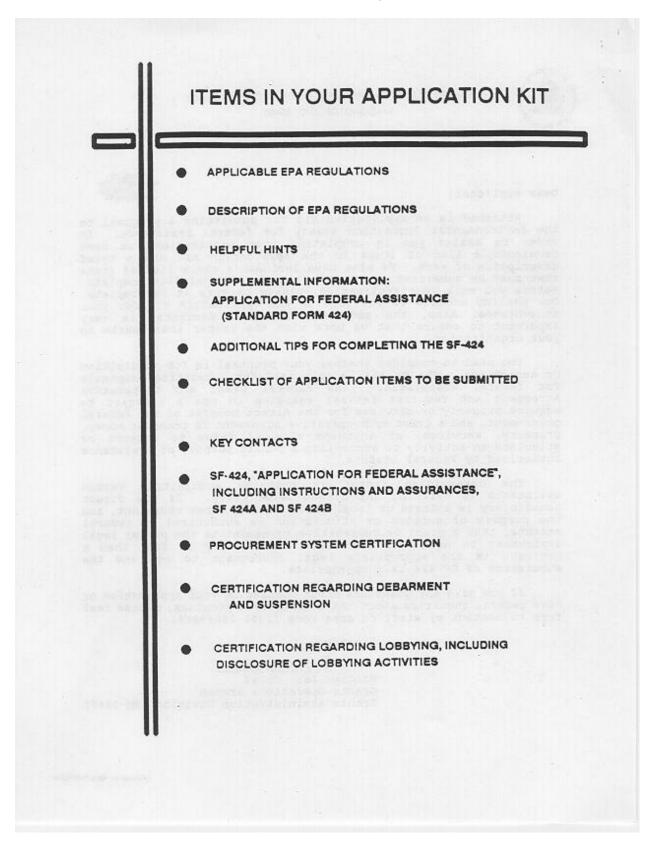
Sincerely,

edudoke Mildred Lee, Chief

Grants Operations Branch Grants Administration Division (PM-216F)

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	APPLICABLE EPA REGULATIONS
	available upon request; call (202) 260-9266
	(Your business office may have copies of these regulations. Please check with them first.)
A	. STATE and LOCAL GOVERNMENTS and INDIAN TRIBAL GOVERNMENTS
	Part 31 - Uniform Administrative Requirements for Grants &
	Cooperative Agreements to States & Local Governments
	Part 7 - Nondiscrimination in Programs Receiving Federal
	Assistance from the Environmental Protection Agency
	Part 12 - Nondiscrimination on the Basis of Handicap in Programs
	or Activities Conducted by the Environmental Protection Agency
· · ·	Part 32 - Government-wide Debarment and Suspension (Nonprocurement)
	and Government-wide Requirements for Drug-Free
	Workplace (Grants)
	Part 29 - Intergovernmental Review of Environmental Protection
	Agency Programs and Activities
	Instructions to Applicanta - Intergovernmental Review Procedures
	and List of Single Point of Contacts
	Part 34 - New Restrictions on Lobbying

FOR ALL OTHER TYPES OF APPLICANTS

Part 30 - General Regulations for Assistance Programs

- Part 33 Procurement Under Assistance Agreements
- Part 7 See Above
- Part 12 See Above
- Part 32 See Above
- Part 29 See Above
- Part 34 See Above

DESCRIPTION OF EPA REGULATIONS

PART 30 - GENERAL REGULATION FOR ASSISTANCE PROGRAMS

 This regulation applies to all EPA applicants except State, Local and Indian Tribal governments.

If the regulation applies to you, you are required to be familiar with it and to comply with its provisions.

PART 31 - UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS

State, Local and Indian Tribal governments are required to be familiar with this regulation and to comply with its provisions.

PART 32 - DEBARMENT AND SUSPENSION UNDER EPA ASSISTANCE, LOANS AND BENEFIT PROGRAMS

All applicants are required to be familiar with the regulation and to submit the certification with their application. In addition, recipients are required to obtain the certification from subrecipients receiving \$25,000 or more.

PART 33 - PROCUREMENT UNDER ASSISTANCE AGREEMENTS AND THE PROCUREMENT SYSTEM CERTIFICATION

The "Part 33 - Procurement under Assistance Agreements" applies to all EPA applicants except State, Local and Indian Tribal governments.

If the regulation applies to you, you are required to be familiar with it and to comply with its provisions. In addition, you are required to complete the "Procurement System Certification".

State governments do not need to self-certify.

PART 34 - NEW RESTRICTIONS ON LOBBYING

All applicants requesting \$100,000 or more from EPA must submit the "Certification Regarding Lobbying" and, if appropriate, complete the "Disclosure of Lobbying Activities". Please note that contractors receiving subagreements of \$100,000 or more are also required to certify and disclose to the individual or organization awarding the subagreement.

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PART 29 - INTERGOVERNMENTAL REVIEW PROCEDURES

The EPA program for which you are applying may be subject to your State's Intergovernmental review process and or the consultation requirements of Section 204, Demonstration Cities and Metropolitan Development Act. 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 who your Single Point of Contact is, please call (202) 260-9266. If the program in which you are applying is subject to Section 204, you must notify areawide metropolitan or regional planning agencies and/or general government units authorized to govern planning for the locale of your project.

PARTS 7 and 12 - NONDISCRIMINATION IN PROGRAMS RECEIVING FEDERAL ASSISTANCE FROM THE ENVIRONMENTAL PROTECTION AGENCY - FINAL RULE

These rules implement the statutes prohibiting discrimination on the grounds of race, color, national origin, sex and handicap. All applicants for EPA assistance are required to be familiar with these rules and to comply with their provisions.

HELPFUL HINTS

APPLICATION FOR FEDERAL ASSISTANCE (STANDARD FORM 424, STANDARD FORM 424A, AND STANDARD FORM 424B)

Based on the inquiries we frequently receive, we have developed the following information augmenting the instructions in the "Application for Federal Assistance" (Standard Form 424). Reading this information in conjunction with the instructions in the application form will speed up the preparation of your application and will reduce our processing time on your application.

The application is divided into three parts:

(1) the "Application for Federal Assistance" (Standard Form 424) with accompanying instructions;

(2) the "Budget Information -Non-Construction Programs" (Standard Form 424A) with accompanying instructions; and

(3) the "Assurances -Non-Construction Programs" (Standard Form 424B).

SUPPLEMENTAL INFORMATION:

APPLICATION FOR FEDERAL ASSISTANCE (STANDARD FORM 424)

Please refer to the instructions for SF 424. The items that require special attention are discussed below.

ITEM 5: If the "Name and telephone number of the person to be contacted for matters involving this application" is different from that of the Project Manager, i.e., the person who will be our contact for technical matters if the application is funded, please provide the name, title, address and telephone number of the Project Manager(Principal Investigator) on the key contact list.

In addition, 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 Manager and each of the key personnel.

ITEM 9: Please insert the name, if applicable, of the EPA person(s) from whom you have received preapplication assistance. This information assists us in routing your application to the appropriate EPA office for review.

ITEM 10: Insert the Catalog of Federal Domestic Assistance Number and Title, if known.

ITEM 13: 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 period"). However, in accordance with our regulations and administrative procedures, your project period may be divided into a series of "budget periods". The definitions of a project period and a budget period are as follows: <u>Project Period</u>: The length of time EPA specifies in the assistance agreement for completion of all project work. It may be composed of more than one budget period. <u>Budget</u> <u>Period</u>: The length of time EPA specifies in an assistance agreement during which the recipient may expend or obligate Federal funds. The guidance provided below for completing the budget instructs you to give the dates for each budget period.

ITEM 15: The amounts under "Estimated Funding" are the amounts requested or to be contributed during the first budget period.

ITEM 18: 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 18.

DESCRIPTION OF PROJECT: Your application should include a section that provides the following information:

• Objective: Describe the principal and subordinate objectives of the project. Pinpoint any 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.

* Results or benefits expected: Identify results and/or benefits accruing to the project. [Important: Include all primary and secondary benefits accruing to the recipient, the population 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.

* Approach:

a. Provide a detailed work plan for the accomplishment of the scope and detail of the proposed project. Cite factors that might accelerate or decelerate the work. Indicate why this approach has been taken rather than alternatives. Describe 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. For all applications list by name all non-Federal sources of funds and facilities to be utilized in the performance of the proposed project.

d. List in chronological order a schedule of accomplishments, progress, or milestones that are anticipated over the length of the project.

e. Indicate by whom each element of the work plan will be carried out including supporting agencies, consultants and contractors.

 Describe sampling and data collection procedures, analytical methods, and methods for evaluating the results of the project.

* General 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. Indicate whether research or demonstration will involve human subjects or research animals.

b. Discuss: (1) the effect of this 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.

QUALITY ASSURANCE: If your project involves environmentally related measurements or data generation, the recipient shall develop and implement quality assurance practices sufficient to produce data of quality adequate to meet project objectives and to minimize loss of data due to out-of-control conditions or malfunctions. Applicants who are State, Local, or Indian Tribal governments, see EPA regulation 40 CFR 31.45. Other applicants, see EPA regulation 40 CFR 30.503.

BUDGET: The application includes a two-page sheet, "Budget Information - Non-Construction Programs" (Standard Form 424A). (You do not need to read the "Instructions for the SF-424A".)

Please complete "Section B - Budget Categories". Use one column for each budget period and insert the total for the project period in Column 5. Attach an extra sheet if your project will have more than four budget periods. The dates for each budget period should be entered at the top of each column, on the "Object Class Categories" line.

Most EPA programs require that you cost share at least 5% of total costs. The amounts you insert in Section B should include EPA's share plus your cost sharing and the cost sharing from all other sources except other federal agencies. Under "Totals" on Line K, please squeeze in the EPA amount requested for each budget period and for the project period. On Line 7, "Program Income, 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. Your detailed itemization of direct costs, which is described below, should show the nature and source of this income. You need not complete Sections A, C, D, or E of the budget page. In Section F, under "Remarks" please enter the type of indirect cost rate (provisional, predetermined, final or fixed) that will be in effect during the budget period, the rate, the base to which the rate is applied, and the Federal agency with whom your rate is negotiated. (Not applicable when indirect costs are not budgeted in Section B.)

For the budget period currently under consideration please submit a separate sheet(s) itemizing the direct costs of Lines (a) thru (j) of Section B. Guidelines for the itemization are provided below.

DETAILED ITEMIZATION OF COSTS:

* Line A - Personnel: List all participants in the project by position title. Give the percentage of the budget period for which they will be fully employed on the project (e.g., half-time for half the budget period equals 25 percent, full-time for half the budget period equals 50 percent, etc.). Give the annual salary and the total cost over the budget period for all personnel listed.

 Line C - Travel: If travel is budgeted, show destination and purpose of travel as well as costs.

* Line D - Equipment: Identify all equipment to be purchased.

* Line E - Supplies: If the supply budget is less than 2% of total costs, you do not need to itemize.

* Line F - Contractual: Specify the nature and cost of such services. EPA may require review of contracts for personal services prior to their execution to assure that all costs are reasonable and necessary to the project.

* Line G - Construction: Contact the Grants Administration Division for additional instructions prior to completing your application if your budget includes construction costs.

 Line H - Other: Specify all costs included under this category. If you are applying for a training project, your itemization of "Other" should include a breakdown of costs for trainee tuition and fees, book allowance, stipends and travel.

* Line J - Indirect Costs: Provide an explanation of how indirect charges were calculated for this project. Please attach a copy of your current negotiated Indirect Cost Rate Agreement. If you do not have a current negotiated rate, a rate must be negotiated within 90 days from receipt of an EPA assistance agreement.

Appendix C -- Guidance for Preparing an Assistance Funding Package

ADDITIONAL TIPS FOR COMPLETING THE SF-424 (1) If your application is being submitted under the Federal Demonstration Project, please indicate it in Block 11 on Page 1. If your project requires an Environmental Impact (2) Statement and/or and Environmental Assessment, please indicate it (3) If your project involves human testing studies, please indicate it on a separate sheet of paper. (4) If your project involves animal testing studies, please indicate it on a separate sheet of paper. (5) Please fill out the reverse side of the "Assurances -Non-Construction Programs" (Standard Form 424B) and have the authorized certifying official sign that page as well as the 1st (6) If you wish to receive notification that we have received your application, please fill in your address on the enclosed application receipt letter. EPA will fill in the pertinent information regarding your project and mail the letter back to the ***************** ******

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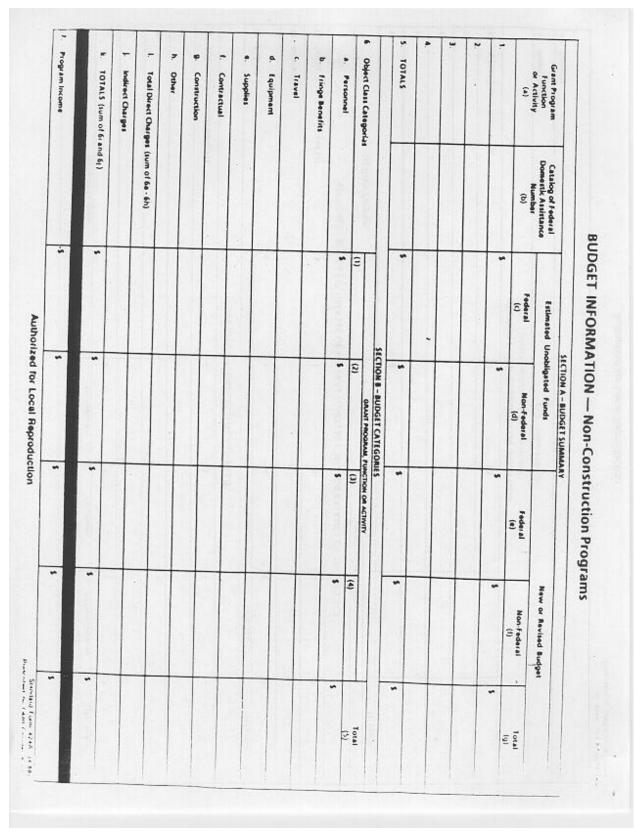
KEY CONTACTS
Authorized Representative: Original awards and amendments will be sent to individual for review and acceptance, unless otherwise indicated.
Name:
Title:
Complete Address:
Phone Number:
Payee: Individual authorized to accept payments.
Name:
Title:
Complete Address:
Phone Number:
Administrative Contact: Individual from Sponsored Programs Office to contac concerning administrative maters (I.e., indirect cost rate computation, rebudge requests etc.)
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Appendix	C	Guidance	for l	Preparing	an A	Assistance	Funding
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			INSTRUCTION	NS FOR	THE SF 424		
	e	Labushed a review and	used by applicants as a requir t will be used by Federal ager comment procedure in respon- rocess, have been given an opp Entry	red faces	sheet for preapplications and obtain applicant certification	that States which h	
	It	em;	Entry:	Ite	to retter the applicant's su	bmission.	
	1	. Self-explanatory.			Chtr		
	2	 Date application su State if applicable) (if applicable). 	bmitted to Federal agency (or & applicant's control number		 List only the largest point (e.g., State, counties, citie Self-explanatory. 	litical entities affec s).	
	3	State use only (if ap	nlicable)				
			is to continue or revise an	14.	List the applicant's Cong	ressional District a	
		existing award, ent	er present Federal identifier project, leave blank.		any District(s) affected by Amount requested or to	be contributed a	
	5.	Legal name of ap organizational unit assistance activity applicant, and name	pplicant, name of primary t which will undertake the , complete address of the and telephone number of the on matters related to this		Amount requested or to be contril the first funding/budget peri- contributor. Value of in-kind co- should be included on appropri- applicable. If the action will result change to an existing award, indice amount of the change. For decreases	get period by ea n-kind contributio appropriate lines will result in a dol ard, indicate <u>only</u> (decreases enclose	
•	6.	Enter Employer Ide	ntification Number (EIN) as mal Revenue Service.		supplemental amounts breakdown on an attache	s. If both basic a are included, shi d sheet For multi-	
	7.		iate letter in the space		program funding, use total using same categories as it	s and show breakdow	
	8.	retter(s) in the space(box and enter appropriate s) provided:	16.	Applicants should contact of Contact (SPOC) for Fee	eral Executive Ord	
		- "New" means a ne	w assistance award.		12372 to determine wheth	er the application	
		 "Continuation" me additional funding with a projected co 	ans an extension for an /budget period for a project		subject to the State interp process.		
		 "Revision" means : Government's fina contingent liability obligation. 	any change in the Federal ncial obligation or r from an existing	17.	This question applies to t zation, not the person authorized representative include delinquent audit and taxes.	who signs as the Categories of dal	
		being requested with		18.	To be signed by the authori	zed representative (
	10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.			the applicant. A copy of the governing authorization for you to sign this applica official representative must be on file applicant's office. (Certain Federal agenci		
		append an explanatio appropriate (e.g., con projects), attach a ma For preapplications,	tive title of the project. if am is involved, you should on on a separate sheet. If struction or real property p showing project location. use a separate sheet to scription of this project.		applicant's office. (Certain I require that this authoriza part of the application.)	ederal agencies ma tion be submitted a	
			,				
						SF 424 (REV 4-88) Bec	



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