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**Learner Manual – Module 1**  
**How It All Starts: The Grant Application Process**

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**TRIBAL, U.S. TERRITORIES AND  
INSULAR AREAS ADMINISTRATIVE  
AND FINANCIAL GUIDANCE  
MANUAL FOR ASSISTANCE  
AGREEMENTS**

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*“A Nation is a stable, historically developed community of people  
who share territory, economic life, distinctive culture, and language.”*

*Office of Environmental Justice, U.S. EPA*

U.S. Environmental Protection Agency  
*Updated August 2013*



This manual was originally developed by the U.S. Environmental Protection Agency for Tribal Nations, but content also pertains to U.S. Territories and Insular Areas. Exception: U.S. Territories and Insular Areas are treated as states under Part 31 (and also under Part 35, Subpart A for PPGs, unlike Tribes that are covered under Subpart B).

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## Module 1: How It All Starts: The Grant Application Process

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### Tribal, U.S. Territories and Insular Areas Administrative and Financial Guidance for Assistance Agreements

Module 1:  
How It All Starts:  
The Grant Application Process

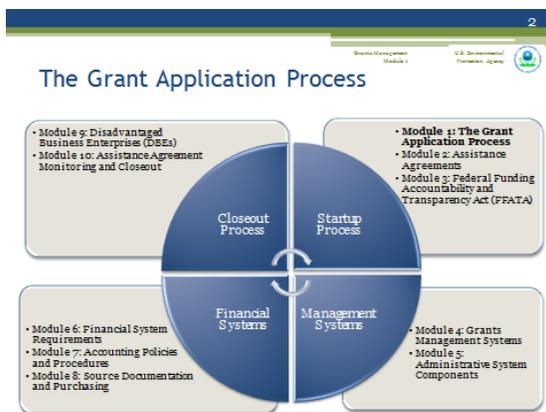
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### Terms

**Assistance Agreement**

**Award** = **Cooperative Agreement**

**Grant**



### The Grants Management Process

There are four essential components to the management of Environmental Protection Agency (EPA) assistance agreement awards:

- Startup – the application and review process
- Management Systems – administrative and financial system requirements
- Financial Systems – accounting policies and procedures
- Closeout – Disadvantaged Business Enterprise (DBE), monitoring and closeout requirements

**Eighty percent (80%) of knowledge is knowing where to find the information.**

### The Manual

The manual contains ten modules explaining how each process works. It describes Environmental Protection Agency (EPA) and Tribal Nation roles and responsibilities.

In this manual, the terms **assistance agreement**, **cooperative agreement**, **award**, and **grant** are used interchangeably meaning **federal funds provided to a Tribal Nation for an agreed upon purpose**.

"Grants" is a universal term for both grant and cooperative agreement whether the term refers to a "grant recipient" or "grant award".

### Learner Notes

#### Learner Notes

Examples of policies and quotes from regulations are provided to help learners develop their own policies. *Also note that examples are fictional; any similarity to existing entities is purely coincidental.*

## Module 1: How It All Starts: The Grant Application Process



### EPA Cooperative Assistance Agreements

#### What kinds of grants are available?

EPA offers two types of grants:

1. Non-competitive
2. Competitive



### Non-competitive

Most Tribal Nations are familiar with non-competitive grants, such as Indian General Assistance Program (GAP or IGAP) grants to federally-recognized Tribes and Tribal Consortia for planning, developing, and establishing environmental protection programs in Indian country, as well as for developing and implementing solid and hazardous waste programs on Tribal lands. Other common non-competitive grants are the Multimedia State and Tribal Assistance Grants offered through the State and Tribal Grants (STAG) program. These grants help Tribal Nations build capacity to carry out compliance assurance activities.

Non-competitive grants may constitute as much as 90 percent of a Tribal Nation's budget. Funds flow

from EPA headquarters to regional offices and do not require formal requests for proposals (RFPs).

For more information on non-competitive grants visit the American Indian Environmental Office (AIEO) website at <http://www.epa.gov/tribalportal/grantsandfunding/gap.htm>. For more information on State and Tribal Grants (STAG) visit <http://www.epa.gov/compliance/state/grants/index.html>.



### Competitive

There are many competitive grants also available to Tribal Nations. EPA encourages Tribal Nations to take advantage of more funding opportunities beyond the familiar non-competitive program options. **This Manual and training program are designed to help Tribal Nations locate, apply for competitive grants, and manage all types of grants.**

#### Discussion

##### Discussion

- How do you get funding?
- Have you ever applied for and received a competitive grant?



## The Birth of an Idea

- For the U.S. Environmental Protection Agency (EPA) to announce an assistance agreement opportunity, EPA must:
  - Be authorized by law to enter into an agreement to accomplish a task or objective.
  - Have funds available to pay for the desired environmental improvements established in the law.

### How does EPA determine which grants to offer?

In order for the U.S. Environmental Protection Agency (EPA) to announce an assistance agreement (i.e., grant) opportunity, it must first:

- Be authorized by law to enter into an agreement to accomplish a task or objective.
- Have funds available to pay for the desired environmental improvements established in the law.

EPA develops programs to achieve specific environmental goals. Those programs are funded by the United States federal government. Specific funding opportunities are offered to government, education, public housing, non-profit, and for-profit organizations as well as small businesses and individuals. Native American Tribal Governments and Intertribal Consortia are eligible as government organizations for many assistance awards. This manual provides guidance for Tribes eligible for assistance awards as Federally Recognized Tribal governments or as eligible Intertribal Consortia. In some cases, Tribal organizations may be eligible for assistance awards as non-profit organizations.

EPA provides funding opportunities for limited periods of time to achieve specific purposes. An applicant's project must address tasks or objectives essential to the achievement of an established EPA goal, like General Assistance Grants (GAP or IGAP awards).



## EPA Funding Announcements



[Catalog of Federal Domestic Assistance](#)

[Grants.gov](#)

### How does EPA promote competitive assistance award programs?

After Congress authorizes and appropriates funds for an assistance agreement program, EPA Headquarters initiates the program's application process by listing:

- Programs in the Catalog of Federal Domestic Assistance
- Funding opportunity announcements at [Grants.gov](#)

EPA regional program offices receive guidance information from EPA national headquarters.

**Some** regional offices mail the funding announcement to notify potential applicants. The EPA program office coordinates any mailing of funding announcements with the EPA Grants Management Official. These procedures may vary somewhat by region.

The funding announcement includes specific instructions on:

- Funding availability
- Completing work plans and budgets
- EPA program partners and contact information
- The deadline for submitting the assistance agreement application

A good practice is to check the regional website, check with regional office personnel for updates, and be vigilant about checking [Grants.gov](#). This website makes it easy to find competitive grant opportunities, many of which you may not have considered before.

**A Tribal Nation should regularly check out opportunities at Grants.gov.**

**How do we find a grant program that funds our type of project?**

The Catalog of Federal Domestic Assistance (CFDA) is a government-wide collection of federal programs, projects, services, and activities that provide financial assistance or benefits to the American public. The catalog contains information about financial and nonfinancial assistance programs administered by all federal agencies, not just EPA.

The primary purpose of the catalog is to assist potential applicants in identifying programs, which meet specific objectives and list the criteria required to obtain a grant. You may download a copy of The Catalog of Federal Domestic Assistance at <https://cfda.symplcity.com/>.



**What kind of information is listed in the CFDA?**

The catalog is organized by government agency, and the EPA’s catalog listings start with number 66.

When you have located a potential assistance program for which you would like to receive more information, locate the assistance program with that CFDA number for a full description.

CFDA listings provide information on:

- Objectives
- Types of assistance
- Uses and restrictions
- Applicant eligibility
- Beneficiary eligibility
- Credentials/documentation
- Pre-application coordination
- Examples of funded projects



**Eligibility**

- Federally recognized Tribal Nations are eligible for **many** competitive grants.
- Non-federally recognized Tribal Nations are also eligible for **some** competitive grants.
- **Read the applicant eligibility paragraph very closely.**
- Only apply to programs for which the Tribal Nation is eligible.

**How do we know if we are eligible for a program?**

Tribal Nations are eligible for many grant programs. View a list of EPA programs for Tribes at <http://www.epa.gov/tribalportal/grantsandfunding/topics.htm>.

Both CFDA listings and Grants.gov announcements contain applicant eligibility paragraphs explaining who is eligible to apply for funding under a specific grant program. Tribal Nations are eligible to apply for some funding opportunities that are not specifically established for Tribes. Some of the funding programs may be restricted to non-profits, hospitals, or institutions of higher education.

For example, there is a lot of research money available, but generally universities are the only applicants eligible. If you have a research project in mind, EPA suggests you partner with a university.

A Tribal Nation must read the applicant eligibility paragraph very closely so that they only apply to programs for which they are eligible.

**Non-federally recognized Tribal nations are eligible for some grants.**



### How do we find a specific funding opportunity?

The Internet web site, [Grants.gov](http://grants.gov) lists most federal grant opportunities. The “Advanced Search” feature allows you to search by eligibility category. Download an application at Grants.gov in response to a funding opportunity announcement, complete the form, gather the application materials, and mail or email the application package to EPA. Track your application through the review process on Grants.gov.

Grants.gov is a website that helps grant applicants to:

- Find grant opportunities
- Apply for grants
- Track the application through processing
- Receive answers to their questions

The funding announcement should contain an overview, which includes the CFDA number and other basic information. Eligible applicants need to follow directions very carefully, as each funding opportunity is unique. A responsible person, designated or approved by a Tribal Nation’s governing body, needs to follow the instructions included in the funding announcement. The applicant must submit all required documents within the time frames specified in the Grants.gov listing. Any questions that arise can be answered by the EPA contact person listed in the funding announcement.

### Learner Notes

#### Learner Notes

Take a little time to visit <http://grants.gov> and do **Activity 1.a**. Activities are located online at [www.petetribal.org](http://www.petetribal.org). These exercises will help you to understand what is presented and find key information later when it is needed most.

### Types of Competitive Grants

**RFA** Request for the Full Application

- No final application is needed after selections are made.

**RFP** Request for Proposals

- RFPs require an initial application proposal.
- After the applicant’s proposal is selected a final application is completed.

**RFIP** Request For Initial Proposals

- An initial proposal is submitted and selected.
- A final proposal is submitted for a second selection process.
- The selected applicant must submit a final application.

There are three different types of competitive grants:

1. **RFA** is a request for the full application. No final application is needed after selections are made.

**RFP** is a request for proposals. RFPs require an initial application proposal. After the applicant’s proposal is selected a final application is completed.

**RFIP** is a request for initial proposals. An initial proposal is requested, selected applicants are invited to submit a final proposal. Final proposals undergo a second selection process, and the selected applicant must submit a final application.

**CFDA is where you can find out about general assistance programs. Grants.gov is where you find out about specific funding opportunities.**

## Select a Grant Opportunity

- Accepting an EPA grant legally binds the recipient to:
  - Use funds in the manner proposed,
  - Achieve the objectives listed in the proposal, and
  - Comply with federal regulations and award “terms and conditions”,
  - To the best of their ability within the specified time period.



Which is the **most** reliable method for locating available funding opportunities?

- A. Catalog of Federal Domestic Assistance
- B. Website “Grants.gov”
- C. Funding announcement received by mail
- D. Contacting EPA headquarters or a regional office
- E. All of the above are correct.



### Learner Notes

#### Learner Notes

Use the Qwizdom system to answer a question whenever you see the checkmark symbol.



### Reflection

#### Reflection

Consider your own situation.

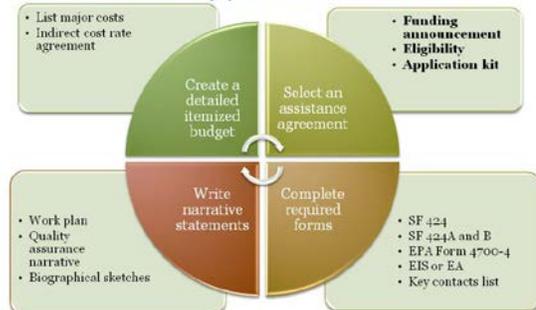
- How does your Tribal Nation learn about available award programs?
- Online at CFDA
- Online at Grants.gov
- Mailed funding announcement
- Emailed funding announcement
- What are the benefits and drawbacks to each method?
- Which method do you prefer and why?
- How does your Tribal Nation determine which funding opportunity to apply for?

How do we know if the Tribal Nation is eligible to apply?

- A. As long as you don't use the money to lobby government, you are eligible.
- B. Check the applicant eligibility paragraph.
- C. EPA will contact you if you are not eligible for an award.
- D. Tribal Nations are considered eligible as nonprofit organizations.
- E. All of the above are correct.



## The Grants Application Process



## The Grants Application Process

### How do we get an application kit?

Grants.gov funding announcements are how the public learns about federal assistance opportunities. An **application kit** includes all of the blank forms an applicant might need to fill out when applying for a grant.

Some EPA Regional Offices may mail announcements directly to Tribal Nations. These mailings come to the Nation as “requests for proposals and applications” accompanied by guidance on what is to be included in the application package. Complete a request form, mail it to your EPA regional office, and they will mail you an application kit.

The grant application process and necessary forms are explained online at <http://www.epa.gov/ogd/forms/forms.htm>. Application kits are available from your EPA regional office or online at <http://www.epa.gov/ogd/AppKit/index.htm>. Sample forms are provided in the **Appendix** to this manual.

**You will need Internet access to work effectively with EPA.**

3. Write narrative statements that explain the purpose to which you propose to put the requested funds.
4. Create a detailed itemized budget for the proposed project, if required.

The figure below lists the four components of the application process and the documentation most often requested. If applying for a competitive grant, the SF 424 and narrative work plan may be all that are required for the competitive process with other forms requested after you are selected.

**The funding opportunity you select may or may not require these forms. Read the announcement carefully.**

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Responsibilities Timeline: Application

TIME→	Application	Startup	Management	Closeout	After
<b>ACTION</b>	<ul style="list-style-type: none"> <li>• Locate award opportunity.</li> <li>• Complete application package.</li> <li>• If NOT already in place, write administrative and financial management policies and procedures.</li> </ul>	<ul style="list-style-type: none"> <li>• Read award carefully.</li> <li>• Get training.</li> <li>• Learn regulations.</li> <li>• Contact EPA regional office.</li> <li>• Meet with Tribal grant management staff.</li> </ul>	<ul style="list-style-type: none"> <li>• Keep accurate records.</li> <li>• Submit progress reports (quarterly, semi-annually, or annually as directed).</li> <li>• Conduct internal audit.</li> <li>• Submit financial reports as directed.</li> </ul>	<ul style="list-style-type: none"> <li>• Submit final progress reports.</li> <li>• Complete all final transfers.</li> <li>• Submit final financial status reports.</li> </ul>	<ul style="list-style-type: none"> <li>• Secure records.</li> <li>• Maintain records for the number of years specified (typically 3-10).</li> </ul>

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## Four-fold Process

1. Select an assistance agreement.
2. Complete the required forms.
3. Write narrative statements that explain the purpose to which you propose to put the requested funds.
4. Create a detailed itemized budget for the proposed project, if required.

### How does the grant application process work?

The grant application process requires an applicant to file official forms. EPA regional offices may require additional forms. To be considered, a Tribal Nation must meet the same requirements as any other applicant. Applications are reviewed according to the criteria specified in the Grants.gov funding announcement.

The application process is four-fold:

1. Select an assistance agreement.
2. Complete the required forms.

### What is our role in the application process?

Applying for and administering assistance agreements requires a Tribal Nation to have policies and procedures in place to control the grants application and management processes from the time of the initial response, to EPA’s program announcement, through the final closeout of an assistance agreement award. EPA does not consider applications that arrive after the deadline listed in the funding announcement.

When applying for awards, written grants management policies and procedures ensure compliance with:

- Tribal Nation laws or administrative requirements
- Federal laws, regulations, or cost principles
- EPA program objectives
- Grant application requirements
- “Terms and conditions” after the award is made

## Module 1: How It All Starts: The Grant Application Process

The information presented in this manual includes policies and procedures Tribal Nations need to have in place to fully comply with financial and administrative requirements when applying for and/or accepting federal funds on any EPA agreement. (Examples and explanations of policies and procedures are provided throughout this *Manual* and in the *Appendix*.)



Don't let this happen to you.

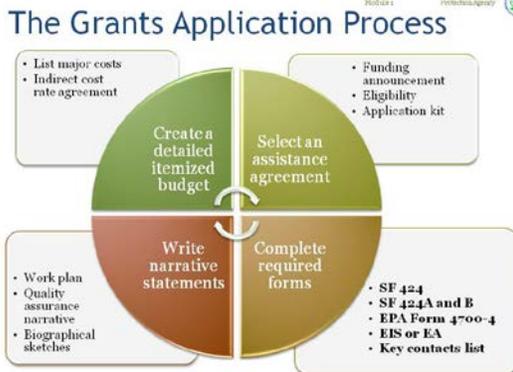


**Submit application materials on time!**



What is the **most** important requirement of EPA's **competitive** grant application process?

- A. Define the “terms and conditions” of the award.
- B. File financial reports.
- C. Sign and date official forms.
- D. Submit application materials on time.
- E. All of the above are correct.



## The Application Package

### What goes into an application package for review?

The **application package** includes all of the completed forms that the applicant sends to EPA when applying for a grant. In order for a Tribal Nation to receive assistance funds, they must go through the application process.



### Submission of Applications

- Competitive grants **may** require submission of
  - Two separate application packages for
  - Two separate review processes
    1. Competitive proposal application and
    2. Final application package
- Look in the Funding Announcement for a list of the required components.

### Competitive Grants

You may have to submit two separate application packages for two separate review processes (competitive proposal application and final application package). Competitive grants may require submission of an initial and a final application package. Look in the Request for Proposal (RFP) for a list of the required components.

- Section IV contains proposal format and content information.
- Section V describes the criteria your application will be evaluated against during the competitive review process.
- The application/proposal review is conducted (in most cases) by a review panel.
  - If selected:
    - The package will be sent to a Project Officer and Grants Specialist for review before the award is offered.
  - OR
  - You may be asked to submit the final application package to the Project Officer and/or Grants Specialist for further review.

## Module 1: How It All Starts: The Grant Application Process

EPA Headquarters and Regional Offices may require additional items be included in the application package. Additional requests are necessary to accommodate variations in programs and unique regional situations.

**Tribal Nations must fill out the application prepared by their EPA regional office.**

Components of the work plan will vary from program to program.

Copy of the negotiated indirect cost rate agreement (if the Tribal Nation is using an indirect cost rate)

Key contacts list, optional but highly recommended

The above components are described in greater detail in the sections that follow. Application package examples are provided in the **Appendix**.

### The Application Package: Typically Required Forms

- ✓ Standard Form 424
- ✓ Standard Form 424A or C (budget)
- ✓ Standard Form 424B or D (assurances)
- ✓ EPA Form 4700-4
- ✓ Narrative statement or work plan
- ✓ Detailed itemized budget

**Check the Announcement  
for Required Forms**

### Which forms will we need?

Each application package contains standard forms and certificates to be filled out. Forms and materials required to apply vary from announcement to announcement, so you should check the funding announcement for specific requirements.

Typical items that may be required in an application for an EPA assistance agreement award include:

- Standard Form (SF) 424
- Dun & Bradstreet, Data Universal Numbering System (DUNS) number
- Standard Form (SF) 424A or C (Budget)
- Standard Form (SF) 424B or D (Assurances)
- EPA Form 4700-4: Pre-award Compliance Review Report
- Narrative statement or work plan
- Detailed itemized budget
- Other forms may be required by the EPA regional office, if applicable:
  - Environmental Impact Statement (EIS) or Environmental Assess (EA)
  - Quality assurance narrative statement, Biographical sketch of key personnel, optional but recommended
  - Anti-Lobbying Form, if more than \$100,000 in federal funds are awarded, required by some regional offices (no longer required by federal law)

### Standard Form 424

- Standard Form (SF) 424 is the “face page” of the EPA Application for Federal Assistance.
- Page 3, Section 21 must contain the original signature of the Tribal Nation’s authorized certifying official.
  - Tribal official authorized to enter into legally binding contracts

### SF 424 (continued)

Section 21 must be signed by the Authorized Certifying Official.

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:

Authorized for Local Reproduction Standard Form 424 (Revised 10/2005)  
Prescribed by DMB Circular A-102

### What purpose does Standard Form 424 serve?

Standard Form (SF) 424 is the “face page” (summary) of the EPA application for federal assistance. SF 424 is a six page document. Page three (3) must contain the original signature of the Tribal Nation’s authorized certifying official (that is the Tribal Nation’s designated official authorized to enter into legally binding contracts). Fill in each section carefully. If a section does not apply to your project, write NA in the space provided.

Module 1: How It All Starts: The Grant Application Process

OMB Number: 4040-0004  
Expiration Date: 03/31/2012

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>	
<b>State Use Only:</b>		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: <input type="text"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/>	* c. Organizational DUNS: <input type="text"/>	
<b>d. Address:</b>		
* Street1: <input type="text"/>	Street2: <input type="text"/>	
* City: <input type="text"/>	County: <input type="text"/>	
* State: <input type="text"/>	Province: <input type="text"/>	
* Country: <input type="text"/>	USA: UNITED STATES	
* Zip / Postal Code: <input type="text"/>		
<b>e. Organizational Unit:</b>		
Department Name: <input type="text"/>	Division Name: <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: <input type="text"/>	* First Name: <input type="text"/>	
Middle Name: <input type="text"/>	* Last Name: <input type="text"/>	
Suffix: <input type="text"/>	Title: <input type="text"/>	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text"/>	Fax Number: <input type="text"/>	
* Email: <input type="text"/>		

Figure 1: SF 424 page 1

*Module 1: How It All Starts: The Grant Application Process*

<b>Application for Federal Assistance SF-424</b>
<b>9. Type of Applicant 1: Select Applicant Type:</b> <input type="text"/> Type of Applicant 2: Select Applicant Type: <input type="text"/> Type of Applicant 3: Select Applicant Type: <input type="text"/> * Other (specify): <input type="text"/>
<b>* 10. Name of Federal Agency:</b> <input type="text"/>
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text"/> CFDA Title: <input type="text"/>
<b>* 12. Funding Opportunity Number:</b> <input type="text"/> * Title:  
<b>13. Competition Identification Number:</b> <input type="text"/> Title: <input type="text"/>
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/>
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text"/>
Attach supporting documents as specified in agency instructions.

Figure 2: SF 424 page 2

*Module 1: How It All Starts: The Grant Application Process*

<b>Application for Federal Assistance SF-424</b>	
<b>16. Congressional Districts Of:</b>	
* a. Applicant	* b. Program/Project <input style="width: 50px;" type="text"/>
Attach an additional list of Program/Project Congressional Districts if needed. <input style="width: 150px; height: 15px;" type="text"/>	
<b>17. Proposed Project:</b>	
* a. Start Date: <input style="width: 50px;" type="text"/>	* b. End Date: <input style="width: 50px;" type="text"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	
* b. Applicant	
* c. State	
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input style="width: 50px;" type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>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)</p> <input type="checkbox"/> ** 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.	
<b>Authorized Representative:</b>	
Prefix: <input style="width: 50px;" type="text"/>	* First Name: <input style="width: 150px;" type="text"/>
Middle Name: <input style="width: 100px;" type="text"/>	
* Last Name: <input style="width: 150px;" type="text"/>	
Suffix: <input style="width: 50px;" type="text"/>	
* Title: <input style="width: 100px;" type="text"/>	
* Telephone Number: <input style="width: 50px;" type="text"/>	Fax Number: <input style="width: 50px;" type="text"/>
* Email: <input style="width: 100px;" type="text"/>	
* Signature of Authorized Representative: <input style="width: 50px;" type="text"/>	* Date Signed: <input style="width: 50px;" type="text"/>

Figure 3: SF 424 page 3

*Module 1: How It All Starts: The Grant Application Process*

<b>Application for Federal Assistance SF-424</b>
<b>* Applicant Federal Debt Delinquency Explanation</b>
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.
<div style="border: 1px solid black; height: 600px; width: 100%;"></div>

Figure 4: SF 424 page 4

*Module 1: How It All Starts: The Grant Application Process*

Item:	Entry:
1.	<p><b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</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>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <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.</li> </ul> <p style="margin-left: 40px;">A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned buy the Federal agency, if any, or the applicant’s control number if applicable.</p>
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.</p>
5b.	<p><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.</p>
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.</p>
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.</p>
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <ol style="list-style-type: none"> <li>a. <b>Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the <a href="http://Grants.gov">Grants.gov</a> website.</li> <li>b. <b>Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your</li> </ol>

Figure 5: SF 424 page 5

*Module 1: How It All Starts: The Grant Application Process*

	<p>organization is not in the US, enter 44-4444444.</p> <p>c. <b>Organizational DUNS:</b> (Required) 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.</p> <p>d. <b>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).</p> <p>e. <b>Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, (if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. <b>Name and contact information of person to be contacted on matters involving this applicant required),</b> organizational affiliation (if affiliated with an organization other on: Enter the name (First and last name 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>
9.	<p><b>Type of Applicant:</b> (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> <p>M. Nonprofit</p> <p>N. Nonprofit</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>
10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
11.	<p><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.</p>
12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and</p>

Figure 6: SF 424 page 6

*Module 1: How It All Starts: The Grant Application Process*

	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. C. Increase Duration D. Decrease Duration E. Other (specify)
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:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
16.	<b>Congressional Districts Of:</b> (Required) 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 5th district, CA012 for California 12th district, NC-103 for North Carolina's 103rd district. • 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. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
18.	<b>Estimated Funding:</b> (Required) 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.
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 State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
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: But may not be limited to; delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
21.	<b>Authorized Representative:</b> (Required) 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. 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.)

Figure 7: SF 424 page 7

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**The DUNS Number**

**Request a Dun and Bradstreet  
Data Universal Numbering System (DUNS) number  
1-866-705-5711—Free**

<http://fedgov.dnb.com/webform/displayHomePage.do>

**How do we get the Data Universal Numbering System (DUNS) number required to complete the application?**

The Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is an application requirement from the Office of Management and Budget (OMB). Assistance agreement applicants must have a DUNS number.

You can get a DUNS number in two ways:

1. By calling the toll-free DUNS number request line at 1-866-705-5711.

Online at [http://www.dnb.com/  
http://fedgov.dnb.com/webform/displayHomePage.do](http://www.dnb.com/http://fedgov.dnb.com/webform/displayHomePage.do).

A DUNS number will be issued in one business day at no cost.

*Learner Notes:*

Visit the DUNS number registration site online at <http://fedgov.dnb.com/webform/displayHomePage.do>.

**Where do we put the DUNS number on the application form?**

The revised EPA assistance agreement application, Standard Form (SF) 424, includes a section for the DUNS number. Some regional offices may still be using an older version of the SF 424. If this section is not provided on your version of the form, as a temporary procedure, include the DUNS number in SF 424 Section 5, the application information address block.

**Always check form expiration dates, and check with EPA if there is a new version!**

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**DUNS on SF 424**

OMB Number: 4245-0044  
Expiration Date: 04/30/2012

Application for Federal Assistance SF-424		
*1. Type of Submission <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	*If Revision, select appropriate letter(s):  * Other (Specify)
*3. Date Received:	4. Application Identifier:	
5a. Federal Entity Identifier:	*5b. Federal Award Identifier: <small>(if using old form, put DUNS track.)</small>	
<b>State Use Only:</b>		
6. Date Received by State:	7. State Application Identifier:	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name:		
* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:	
d. Address:		
* Street 1:		
* Street 2:		
* City:		
* County:		

The due date for the application package must be met for the application to be considered. The dates and requirements vary for each funding opportunity, so read the announcement carefully, and be sure to post before the deadline.

For example: One funding announcement requires a postmark by midnight on the specified date. Another funding announcement requires the application to be received in the EPA office by 5:00 P.M. on the due date.

*Learner Notes*

**Learner Notes**

The Employer/Taxpayer Identification Number (EIN/TIN) also known as a Federal Tax Identification Number (FEIN) is an identification number used by the Internal Revenue Service to identify a business, just like a Social Security Number is used to identify an individual. The government uses this to keep track of taxes.

## Standard Form 424A



- Budget Information for non-construction programs

GRANT PROGRAM, FUNCTION OR ACTIVITY		
6. Object Class Categories	(1)	
a. Personnel		\$125,224
b. Fringe Benefits		\$22,540
c. Travel		\$23,000
d. Equipment		\$0.00
e. Supplies		\$0.00
f. Contractual		\$0.00
g. Construction		\$0.00
h. Other*		\$8,098
i. Total Direct Charges (sum of 6a-6h)		\$178,862
j. Indirect charges		\$41,138
k. TOTALS (sum of 6i and 6j)		\$220,000

### What is Standard Form 424A?

Standard Form (SF) 424A is the budget page of the EPA application for federal assistance. Requested funding and/or cost share funds should be shown in the "new or revised budget" category. (EPA no longer makes budget adjustments for unobligated funds--these funds are returned to headquarters unless an extension is granted.)

Costs are estimated but specific and rounded to the nearest dollar.

Costs are divided into two parts:

- (1) personnel costs and
  - (2) non-personnel costs.
- You may also have a part for (3) indirect costs.

Costs are divided into two columns

- (1) requested and
- (2) match (non-federal funds).

Each cost category is detailed with budget calculations shown on the form.

Tips on writing a grant proposal and examples of proposed budgets are available online at <http://www.epa.gov/ogd/recipient/tips.htm>.

**Do not change or add cost categories contained in the budget after it is approved.**

Module 1: How It All Starts: The Grant Application Process

Table 1: Sample Proposal Budget Summary

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		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Indian Environmental General Assistance Program	66.926			\$220,000		\$220,000
2.						
3.						
4.						
5. Totals		\$0.00	\$0.00	\$220,000	\$0.00	\$220,000
SECTION B – BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel		\$125,224			\$125,224	
b. Fringe Benefits		\$22,540			\$22,540	
c. Travel		\$23,000			\$23,000	
d. Equipment		\$0.00			\$0.00	
e. Supplies		\$0.00			\$0.00	
f. Contractual		\$0.00			\$0.00	
g. Construction		\$0.00			\$0.00	
h. Other*		\$8,098			\$8,098	
i. Total Direct Charges (sum of 6a-6h)		\$178,862			\$178,862	
j. Indirect charges		\$41,138			\$41,138	
k. TOTALS (sum of 6i and 6j)		\$220,000			\$220,000	
7. Program Income		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Authorized for Local Reproduction</b>						Standard Form 424A (Rev 7-97) Prescribed by OMB Circular A-102
<b>Previous Edition Usable</b>						

\* Other costs might include postage, insurance, professional association dues, periodical subscriptions, publications, and similar items not considered equipment or supplies.

*Module 1: How It All Starts: The Grant Application Process*

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				
13. Federal	Total for 1 <sup>st</sup> Year	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	4 <sup>th</sup> Quarter
	\$	\$	\$	\$
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)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
Section F – Other Budget Information				
21. Direct Charges		22. Indirect Charges		
23. Remarks:				

Authorized for Local Reproduction

Standard Form 424A (Rev 4-2012) Page 2

Figure 5: Standard Form 424A page 2

**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 comment 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 6. 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

Figure 6: Standard Form 424A page 3

## Module 1: How It All Starts: The Grant Application Process

### 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 contributions 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 grant or 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.

Figure 7: Standard Form 424A page 4

## Standard Forms 424 B, C, and D

- SF 424B Assurances for Non-Construction Programs
- SF 424C Budget Information for Construction Programs
- SF 424D Assurances for Construction Programs

### What is Standard Form 424B?

Standard Form (SF) 424B assures the recipient's project complies with regulation set forth by the United States Office of Management and Budget.

#### Learner Notes

##### Learner Notes

When the award becomes official, you have agreed to comply with all of the federal regulations listed on the form, especially 40 CFR 31, 40 CFR 33, and OMB Circular A-87, negotiate in good faith with the EPA regional office, write and follow compliant administrative and financial policies and procedures, and do your best to fulfill the terms and conditions of the agreement.

### What is Standard Form 424C?

Standard Form (SF) 424C is the budget information submitted **when the project involves construction**.

### What is Standard Form 424D?

Standard Form (SF) 424D assures the recipient's project complies with regulation set forth by the United States Office of Management and Budget **when the project involves construction**.

## EPA Form 4700-4

- EPA Form 4700-4 is the Preaward Compliance Review Report.
- It assures EPA that the award recipient is willing and able to comply with EPA rules and regulations.



### What is EPA Form 4700-4?

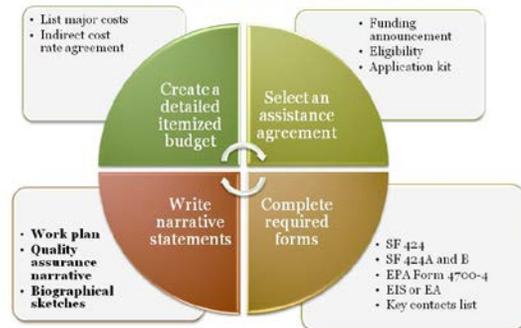
EPA Form 4700-4 is the Pre-award Compliance Review Report. Completion of this form indicates ability and willingness to comply with EPA rules and regulations on civil rights compliance.

### What other forms may be needed?

Some programs require the applicant to submit an Environmental Assess (EA) and/or Environmental Impact Statement (EIS). If required, the EPA Regional Office will provide these forms or information on how to obtain them.

A list of key contacts should be frequently updated and kept on file. Copies should be provided to all Tribal Nation grants management staff. A *Contact Information with Tracking Document* and sample *Key Contacts List* are provided in the **Appendix**.

## The Grants Application Process



**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 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.
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 VII 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.

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Figure 8: Standard Form 424B page 1

*Module 1: How It All Starts: The Grant Application Process*

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 subagreement.
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 flood plains 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 will 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

Standard Form 424B (Rev.7-97) Back

Figure 9: Standard Form 424B page

Module 1: How It All Starts: The Grant Application Process

OMB Approval No. 0348-0041

**BUDGET INFORMATION – Construction Programs**

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION		a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1.	Administrative and legal expenses	\$ .00	\$ .00	\$ 0.00
2.	Land, structures, rights-of-way, appraisals, etc.	.00	.00	0.00
3.	Relocation expenses and payment	.00	.00	0.00
4.	Architectural and engineering fees	.00	.00	0.00
5.	Other architectural and engineering fees	.00	.00	0.00
6.	Project inspection fees	.00	.00	0.00
7.	Site work	.00	.00	0.00
8.	Demolition and removal	.00	.00	0.00
9.	Construction	.00	.00	0.00
10.	Equipment	.00	.00	0.00
11.	Miscellaneous	.00	.00	0.00
12.	SUBTOTAL (sum of lines 1-11)	0.00	0.00	0.00
13.	Contingencies	.00	.00	0.00
14.	SUBTOTAL	0.00	0.00	0.00
15.	Project (program) income	.00	.00	0.00
16.	TOTAL PROJECT COSTS (subtract #15 from #14)	0.00	0.00	0.00
<b>FEDERAL FUNDING</b>				
17.	Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X _____%		\$ 0.00

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Figure 10: Standard Form 424C page 1

*Module 1: How It All Starts: The Grant Application Process*

**INSTRUCTIONS FOR THE SF-424C**

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 (0348-0041), 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 sheet is to be used for the following types of applications: (1) New@ (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to affect minor (no cost) changes. If you have questions, please contact the Federal agency.

<p>Column a. - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."</p> <p>If this application entails a change to an existing award, enter the eligible amounts approved under the previous award for the items under "COST CLASSIFICATION."</p> <p>Column b - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is not allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.</p> <p>If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) Reflected in this application.</p> <p>Column - This is the net of lines 1 through 16 in columns "a." and "b."</p> <hr/> <p>Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.</p> <p>Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).</p> <p>Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.</p>	<p>Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).</p> <p>Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.</p> <p>Line 6 - Enter estimated engineering inspection costs.</p> <p>Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.</p> <p>Line 9 - Enter estimated cost of the construction contract.</p> <p>Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility. If such costs are not included in the construction contract.</p> <p>Line 11 - Enter estimated miscellaneous costs.</p> <p>Line 12 - Total of items 1 through 11.</p> <p>Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction costs to use.)</p> <p>Line 14 - Enter the total of lines 12 and 13.</p> <p>Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.</p> <p>Line 16 - Subtract line 15 from line 14.</p> <p>Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent: consult Federal agency for Federal percentage share) and enter the product on line 17.</p>
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Figure 11: SF 424C, page 2

**ASSURANCES - 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 (0348-0042), 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 assistance 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:

<ol style="list-style-type: none"> <li>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 costs) to ensure proper planning, management and completion of the project described in this application.</li> <li>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 assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</li> <li>3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.</li> <li>4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.</li> <li>5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.</li> <li>6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</li> <li>7. 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.</li> </ol>	<ol style="list-style-type: none"> <li>8. 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).</li> <li>9. 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.</li> <li>10. Will comply with all Federal statutes relating to non-discrimination. 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.</li> </ol>
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Figure 12: SF 424D page 1

*Module 1: How It All Starts: The Grant Application Process*

<p>11. 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 and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.</p> <p>12. Will comply with the 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.</p> <p>13. Will comply, as applicable, with the provision 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 of federally assisted construction sub-agreements.</p> <p>14. Will comply 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.</p> <p>15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the</p>		<p>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 flood plains 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).</p> <p>16. 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.</p> <p>17. 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.).</p> <p>18. 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."</p> <p>19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.</p>
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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

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**Standard Form 424D** (Rev 4-2012) Back  
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Figure 13: SF 424D page 2



## Narrative Statement or Work Plan

- ✓ Detailed description of components to be funded
- ✓ Estimated years or full time equivalents and amount of work per component
- ✓ Commitments for each component and time frames for completion
- ✓ List of outputs and outcomes
- ✓ Roles and responsibilities of recipient and EPA
- ✓ Performance evaluation process and reporting schedule

### **Is there a form or required format for the narrative statement (also known as a work plan)?**

There is no standard format for the **narrative statement or work plan** in the application. To be considered for the grant award, it is essential that the work plan address the requirements in the funding announcement for cooperative agreements and grants. Components and the format of the work plan will vary from program to program. Read the announcement carefully.

If a specific format is required by EPA on a particular funding announcement, it will be stated in the announcement. The work plan is tied to the detailed budget explaining each point, so develop the budget first.

The contents of project narratives required in a funding proposal vary. Some announcements require very basic information (especially in the case of a Request for Initial Proposal (RFIP), which only requires an initial proposal at first). You will eventually need to include the information listed below, if you are selected and asked to submit a final application. You won't necessarily have to have all of this for the first proposal submission.

Work plans for EPA programs will most likely contain the following:

- Detailed description of Work Plan components to be funded under the grant
- Estimated work years or Full Time Equivalents (FTEs) and funding amounts for each Work Plan component
- Work Plan commitments for each Work Plan component and time frames for their accomplishment

- Performance evaluation process and reporting schedule for “outputs” and “outcomes” as defined by EPA Order for Environmental Results
- Roles and responsibilities of the recipient and EPA in carrying out work plan commitments

A sample narrative statement or work plan is provided in the **Appendix**. The U.S. Environmental Protection Agency's Policy on Environmental Results Under EPA Assistance Agreements (EPA Order 5700.7) is explained at <http://www.epa.gov/ogd/grants/assistance.htm> and available for download at <http://www.epa.gov/ogd/grants/award/5700.7.pdf>.



## Biographical Sketch

Biographical sketches of key personnel might include:

- Education
- Work history and responsibilities
- Assistance agreements key personnel have managed
- Letters of support or endorsement

An up-to-date resume may be used in place of the biographical sketch for any or all of key grant personnel.

### **What is a biographical sketch?**

Biographical sketches of key personnel might include:

- Education
- Work history and responsibilities
- Assistance agreements key personnel have managed
- Letters of support or endorsement

**An up-to-date resume may be used in place of the biographical sketch for any or all of the key personnel for the grant.**

*Module 1: How It All Starts: The Grant Application Process*

FORM Approved By OMB: No. 2030-0020 Expires 12-31-2011.

United States Environmental Protection Agency Washington, DC 20460  <b>Preaward Compliance Review Report for                  All Applicants and Recipients Requesting EPA Financial Assistance</b> Note: Read instructions on other side before completing form.		
I.	Applicant/Recipient (Name, Address, State, Zip Code).	EPA Project No.
II.	Is the applicant currently receiving EPA assistance? (See * instructions on reverse side)	
III.	List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)	
IV.	List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)	
V.	List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))	
VI.*	Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) <input type="checkbox"/> Yes <input type="checkbox"/> No  a. Do the methods of notice accommodate those with impaired vision or hearing? <input type="checkbox"/> Yes <input type="checkbox"/> No b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? <input type="checkbox"/> Yes <input type="checkbox"/> No c. Does the notice identify a designated civil rights coordinator? <input type="checkbox"/> Yes <input type="checkbox"/> No	
VII.*	Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))	
VIII.*	Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)	
IX.*	If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.	
X*	If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.	
XI.	Will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? <input type="checkbox"/> Yes. If no, explain how a regulatory exception (40 C.F.R. § 7.70) applies. <input type="checkbox"/> No	
<b>For the Applicant/Recipient</b>		
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. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
<b>For the U.S. Environmental Protection Agency</b>		
I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized EPA Official	B. Title of Authorized EPA Official	C. Date

EPA Form 4700-4 (Rev. 03/2008). Previous editions are obsolete.

Figure 14: EPA Form 4700-4 Page 1

## Module 1: How It All Starts: The Grant Application Process

### Instructions for EPA FORM 4700-4 (Rev. 03/2008)

General	Items
<p>Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.</p> <p><u>Title VI of the Civil Rights Acts of 1964</u> 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 statute 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).</p> <p><u>Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act</u> 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.</p> <p><u>Section 504 of the Rehabilitation Act of 1973</u> provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.</p> <p><u>The Age Discrimination Act of 1975</u> 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.</p> <p><u>Title IX of the Education Amendments of 1972</u> provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits 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.</p> <p><u>40 C.F.R. Part 5</u> implements Title IX of the Education Amendments of 1972.</p> <p><u>40 C.F.R. Part 7</u> implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.</p> <p><u>The Executive Order 13166 (E.O. 13166)</u> entitled; "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.</p>	<p>"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.</p> <p>"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.</p> <p>"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. 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.</p> <p>"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 disability.</p> <p>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.</p> <p>If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."</p> <p>In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.</p> <p>* For applicants who are not <u>current</u> recipients of EPA assistance, questions VI - X are for informational purposes only, and will not affect applicant grant status. However, if an applicant is currently receiving EPA assistance, questions VI - X must be answered. (40 C.F.R. Parts 5 and 7).</p> <p><b>"Burden Disclosure Statement"</b></p> <p>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 U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.</p> <p>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 and regulations.</p>

Figure 15: EPA Form 4700-4 Page 2

Jane Snow, Finance Director, is responsible for maintaining a comprehensive accounts and records system that provides financial information on a timely basis. Jane manages all federal grant budgets for the Tribal Nation. She has served on the Tribal Council and as a member of the Board of Directors for the Tribal College. Jane received her Bachelor's Degree in business, focusing on finance and accounting, from Fort Belknap College in Harlem, Montana. Jane supervises three staff members: an accountant, a secretary, and a file clerk. Jane has held this position for five years.

Figure 16: Sample Biographical Sketch

## Detailed Itemized Budget



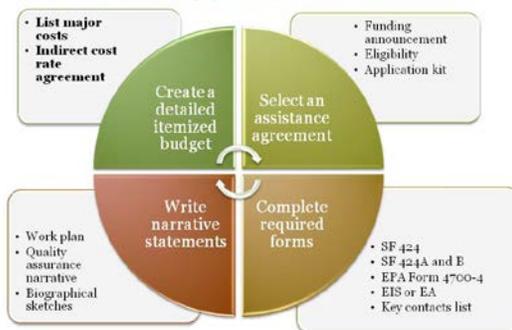
The work plan should show how the budget items relate to the project tasks and outcomes. This detailed budget then gets transferred to SF 424A, Parts A-E on the application. A detailed itemized budget describes expected direct and indirect costs for the project, such as:

- Personnel
- Fringe benefits
- Travel
- Equipment
- Supplies
- Contractors
- Construction

## What goes into a biographical sketch?

- A. Disciplinary actions taken
- B. Family connections within the Tribal Nation
- C. Qualifications for the proposed position
- D. Salary and benefits
- E. All of the above are correct.

## The Grants Application Process



### What goes in the budget?

A detailed itemized budget is usually required. The budget details the amount of funding needed to complete a project. Budgets must align with the proposed work plan. If not requested with the initial application, it will most likely be required in the final application process.

**Budget components are explained in Modules 7-8.**

## Indirect Cost Rate

- Cost of doing business that cannot be directly related to the grant, such as:
  - Power
  - Heating/Cooling
  - Rent
  - Office Manager

Negotiate an indirect cost rate before or at the time of the application with your cognizant federal agency.

### What is an indirect cost rate?

An indirect cost rate allocates a certain percentage of awarded funds to indirect costs, which are expenses of doing business that are not readily identified with a particular grant, contract, project function, or activity, but are necessary for the general operation of the Tribal Nation, such as heat, light, accounting, and personnel. An indirect cost rate is negotiated between the Tribal Nation and their cognizant federal agency.

## Module 1: How It All Starts: The Grant Application Process

If the Tribal Nation is using an indirect cost rate, this agreement must be included in the application package. If the applicant does not have a current indirect cost rate and wishes to use one, they should arrange to negotiate an indirect cost rate with their cognizant federal agency as soon as possible. This process can take some time to complete.

### Learner Notes

#### Learner Notes

Some Tribal Nations have space cost allocation plans which pay for heat, power, and so on. Do you?

be documented to explain the absence of competition.

If the project requires procurement from a sole-source provider, then the recipient must notify the EPA Project Officer before using the non-competitive proposal purchasing method. The Project Officer will likely ask for the proposed contract and related information, including cost information provided by the bidder and written justification for the non-competitive method, for EPA review.

Methods of procurement are explained in 40 CFR 31.36(d), provided in the [Appendix](#).



## Contract

- A contract is a mutually binding legal relationship obligating the seller to furnish the supplies or services and the buyer to pay for them, such as:
  - Subawards
  - Job Contracts
  - Consultants
  - Purchase Orders

### What is a contract?

A **contract** includes procurement under a grant or subgrant. A contract is a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. Contracts include awards and job or task orders (including purchase orders).

### How are contracts itemized?

All contracts included in grant work are required to have been procured in accordance with procurement regulations regardless of when the contract is awarded. Contracts must go through the bidding process unless the applicant can provide sole source justification. Sole source justification is granted when it is determined that there is only one source reasonably available. The one source must

### Learner Notes

#### Learner Notes

The more specific the budget, the less confusion occurs, and less time is lost after the award. Practice creating an itemized budget plan in **Activity 1.b** (online at [www.petetribal.org](http://www.petetribal.org)).

Which items are typically required to be included in an application for an EPA **competitive** assistance agreement?

- Standard Forms 424, 424A and B or C and D
- EPA Form 4700-4
- Detailed itemized budget
- Narrative statement or work plan
- All of the above are correct.



Module 1: How It All Starts: The Grant Application Process

Sample Itemized Budget

Objectives

Core	Salaries	Fringe	Travel	Supplies	Other	Indirect	TOTAL
Amount	183,400	42,182	30,045	4,361	33,145	69,760	362,893
Outreach	110,600	25,438	11,157	240	6,822	44,743	199,000
Cluster	26,250	6,037	173,591	0	10,125	60,653	276,656

Personnel

Category	Core		Outreach/Air		Cluster		TOTAL
	FY09	FY10	FY09	FY10	FY09	FY10	
Program Manager	60,000	53,550	10,000	16,450			140,000
Environmental Coordinator	9,500	0	2,500	12,00			24,000
Finance Director	22,450	23,900	9,555	31,110			87,000
Administrative Assistant	11,000	3,000	12,000	17,000	11,250	15,000	69,250
Subtotal	102,950	80,450	34,050	76,550	11,250	15,000	320,250
Fringe	25,978	16,204	7,832	17,606	2,587	3,450	73,657

Travel

Category	Core		Outreach/Air		Cluster		TOTAL
	FY09	FY10	FY09	FY10	FY09	FY10	
Staff Air PerD	1,248	1,248					
Staff Air Work	1,290	1,230					
Staff Env Work			1,470				
EnvXpt Work	1,414	1,182					
GrntXpt PerD	1,480						
Facilities	2,073						
Panelists			5,475	4,212			
Participants	18,880						
Clusters 3 + 6					57,864	115,727	
TOTAL	26,385	3,660	6,945	4,212	57,864	115,727	214,793

Other

Category	Core		Outreach/Air		Cluster		TOTAL
	FY09	FY10	FY09	FY10	FY09	FY10	
Regist. Fees	2,160	600					2,760
Facilitators	9,375						
Panel Fees			2,624				
EnvWrkXpert			2,099				
EnvWrk			2,099				
Grant							
Food	4,500	3,000			3,375	6,750	
Beverages	5,300						
News/Reports	3,960	1,000					
WkS Materials	22,50	1,000					
TOTAL	27,545	5,600	6,822	0	3,375	6,750	50,092

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Grants Management  
Methods 1 U.S. Department  
of Environment  
Protection Agency

### Application Review and Approval Process for Competitive Grants

1. Initial applications are submitted.
2. Review panel evaluates and recommends applications to the selection official.
3. Selection official selects applicants that will be offered an award.
4. Final applications are submitted (if necessary).
5. Grants Specialist and Project Officer review the application to ensure compliance before making the award.
  - Award document is packaged with "terms and conditions" and sent to the award recipient.

## The Application Review and Approval Process

### How does EPA manage assistance award programs?

Every organization has a process for the orderly flow of their work. EPA has a grants management process for everything from the original inquiry, request for assistance application, project administrative and financial management, and closeout of an award.

Most management assistance is provided by EPA regional officials. However, online services are available with new features added frequently. EPA is moving all of its online award management services to [Grants.gov](http://Grants.gov).

### How does the review process work?

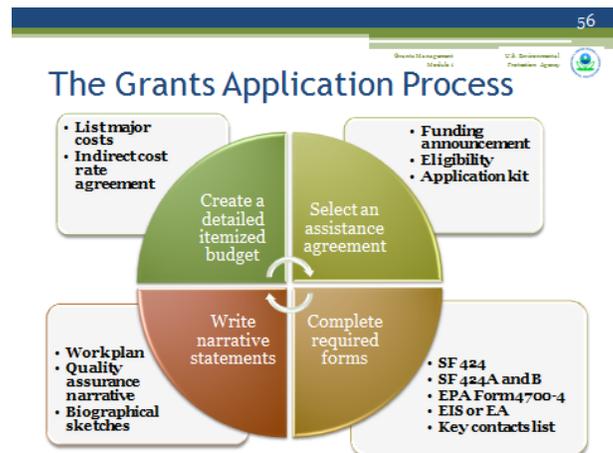
Most competitive grant applications are reviewed by a team of readers. There are two review processes for a competitive grant program. One is during the competitive process, where a review panel evaluates proposals and ultimately recommends applications to the selection official. The selection official selects applicants that will be offered an award. The applicant must either submit a final (full) application package, or if the announcement required a full application to be submitted initially, they might have to make some minor modifications. Once the final application is in, it goes through a second review process by the Grants Specialist and the Project Officer to ensure compliance before making the final award.

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Grants Management  
Methods 1 U.S. Department  
of Environment  
Protection Agency

### Which of the following is essential to the EPA application and review process?

- A. Writing narrative statements about the work plan
- B. Selecting an assistance agreement that is right for you
- C. Creating a detailed itemized budget with indirect cost rate agreement
- D. Completing all the required forms
- E. All of the above are correct.

### What is required from Tribal Nations when applying for assistance funding?

Tribal Nations decide if they want to apply for program funds. Read the funding announcement for eligibility, restrictions, requirements, and forms.

When the Tribal Nation decides to apply for a specific funding award, they complete the application package. The following items may or may not be required in the initial application. Requirement depends on whether the program offers competitive or non-competitive awards. If not required in the initial application, it will likely be required in the final application.

If you are applying for a grant under a non-competitive program or have already been selected, you need only complete the one final application, including the following items:

- Standard Form 424 (application)
- Standard Form 424A or C (budget)
- Standard Form 424B or D (assurances)
- Budget detail, work plan and required certifications

## Module 1: How It All Starts: The Grant Application Process

- Assurances and EPA Form 4700-4 “Preward Compliance Review Report for All Applicants Requesting Federal Financial Assistance”

Applicants typically send one copy in addition to the signed original completed assistance agreement application to the EPA Grants Management Official responsible for processing the application. Check with your EPA Regional Office to find out how they want you to apply.

**Modules 2-10 explain the Tribal Nation’s role in greater detail.**

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The EPA Grants Management Official administers the process.

**Some GMO duties may be delegated to the Grants Specialist.**



EPA Grants Management Official (GMO)

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### Roles and Responsibilities



### The Tribal Nation and EPA Roles

#### What is EPA’s role in the grants application process?

The application process demands active participation and attention to detail on the part of many key personnel. Once you are selected for a competitive award, you will be assigned an EPA Grants Specialist and Project Officer. Their contact information is provided on the first page of the award document and/or in the “terms and conditions”.

EPA regional staff often have more than one set of responsibilities. Personnel may function in more than one capacity or position. Roles and responsibilities vary by region. If for any reason your grant does not identify a specific person, call the Regional EPA Office directly, and they will refer you to the appropriate person.

#### What does the EPA Grants Management Official do?

The EPA Grants Management Official administers the process:

- Checks the application
- Sends a copy to the Project Officer
- Reviews the official funding recommendation from the Project Officer
- The review must first be signed by the appropriate EPA Approval Official
- Completes the application review and finalizes the award process

**Some GMO duties may be delegated to the Grants Specialist (GS).**

**The Grants Management Official manages the entire grant process.** The GMO is involved in all administrative functions for the entire grant process, including monitoring and closeout.

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The EPA project officer manages the work plan components of an assistance agreement application.



EPA Project Officer (PO)

**What does the EPA Project Officer do?**

The EPA Project Officer manages the work plan components of an assistance agreement application:

- Reviews the completed application and work plan against EPA'S program objectives and the guidance issued by EPA in the Catalog of Federal Domestic Assistance, Grants.gov, and regional guidance letter
- Negotiates any outstanding work plan issues with the Tribal Nation
- Provides EPA Approval Official with recommendations on who should receive funding
- Once negotiations are complete, sends an electronic "Funding Recommendation" and "Funds Commitment Notice" to the EPA Grants Management Official



The EPA grants specialist clarifies administrative and financial components of the application.



**What does the EPA Grants Specialist do?**

The EPA Grants Specialist clarifies administrative and financial components of the application:

- Reviews the application and budget for accuracy as well as regulatory and administrative requirements
- Contacts the EPA official Project Officer and/or the Tribal Nation for any additional information, if necessary



**Reflection**

**Reflection**

Consider your organization's unique situation:

- Who is your EPA grant management official?\*
- Who is your EPA Project Officer?\*
- Who is your EPA Grants Specialist?\*

\*Some regions assign part or all of the GMO responsibilities to a Grants Specialist.

**Learner Notes**

You will want to keep track of all the people involved in each project and their contact information. A sample *Contact Information and Tracking Document* is provided in the **Appendix** and in **Activity 2.d** ([www.petetribal.org](http://www.petetribal.org)) for keeping information handy.

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**Which of the following responsibilities are usually handled by the EPA Grants Management Official?**

- A. Administrative and financial components of the application and reviews for regulatory compliance
- B. Oversight of the assistance agreement process
- C. Review and approval of the work plan

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Grants Management System U.S. Environmental Protection Agency

Which of the following responsibilities are usually handled by the EPA **Project Officer**?

- A. Administrative and financial components of the application and reviews for regulatory compliance
- B. Oversight of the assistance agreement process
- C. Review and approval of the work plan



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Grants Management System U.S. Environmental Protection Agency

Which of the following responsibilities are usually handled by the EPA **Grants Specialist**?

- A. Administrative and financial components of the application and reviews for regulatory compliance
- B. Oversight of the assistance agreement process
- C. Review and approval of the work plan



Module 1: How It All Starts: The Grant Application Process

Attachment to Module 1

Answers to Quizdom Actionpoint Questions

Slide	Question (bold font indicates correct answer)	Explanation
15	Which is the <b>most</b> reliable method for locating available funding opportunities? A. Catalog of Federal Domestic Assistance <b>B. Website "Grants.gov"</b> C. Funding announcement received by mail D. Contacting EPA headquarters or a regional office E. All of the above are correct.	EPA lists available funding opportunities for assistance agreements at Grants.gov. The site is updated frequently with new opportunities and provides the most accurate information available. Don't miss your chance by waiting for information to come to you.
18	How do we know if the Tribal Nation is eligible to apply? A. As long as you don't use the money to lobby government, you are eligible. <b>B. Check the applicant eligibility paragraph.</b> C. EPA will contact you if you are not eligible for an award. D. Tribal Nations are considered eligible as nonprofit organizations. E. All of the above are correct.	The Applicant Eligibility paragraph lists entities eligible for the assistance agreement award.
25	What is the <b>most</b> important requirement of EPA's <i>competitive grant</i> application process? A. Define the "terms and conditions" of the award. B. File financial reports. C. Sign and date official forms. <b>D. Submit application materials on time.</b> E. All of the above are correct.	All of these are important, however, getting all the materials submitted by the deadline is the most important requirement of the application process. Only applications submitted on-time are considered for funding.
41	What goes into a biographical sketch? A. Disciplinary actions taken B. Family connections within the Tribal Nation <b>C. Qualifications for the proposed position</b> D. Salary and benefits E. All of the above are correct.	Disciplinary actions, family connections, salary, and benefits should not be included in a biographical sketch. EPA simply wants to know how qualified the person is for the work they will be doing.

*Module 1: How It All Starts: The Grant Application Process*

Slide	Question (bold font indicates correct answer)	Explanation
49	<p>Which items are typically required to be included in an application for an EPA <b>competitive</b> assistance agreement award?</p> <p>A. Standard Forms 424, 424A and B or C and D</p> <p>B. EPA Form 4700-4</p> <p>C. Detailed itemized budget</p> <p>D. Narrative statement or work plan</p> <p>E. <b>All of the above are correct.</b></p>	<p>The items listed are typically required parts of a complete application package. SF 424 and the narrative work plan are required for competitive applications. Once you are selected, the other forms are required in order to actually receive an award.</p>
53	<p>Which of the following is essential to the EPA application and review process?</p> <p>A. Writing narrative statements about the work plan</p> <p>B. Selecting an assistance agreement that is right for you</p> <p>C. Creating a detailed itemized budget with indirect cost rate agreement</p> <p>D. Completing all the required forms</p> <p>E. <b>All of the above are correct.</b></p>	<p>All of these components are necessary for a Tribal Nation to obtain an award.</p>
62	<p>Which of the following responsibilities are usually handled by the EPA <i>Grants Management Official</i>?</p> <p>A. Administrative and financial components of the application and reviews for regulatory compliance</p> <p>B. <b>Oversight of the assistance agreement process</b></p> <p>C. Review and approval of the work plan</p>	<p>The EPA Grants Management Official administers the process:</p> <ul style="list-style-type: none"> <li>• Checks the application</li> <li>• Sends a copy to the project officer</li> <li>• Reviews the official funding recommendations from the Project Officer that are signed by the appropriate EPA Approval Official</li> <li>• Completes the application review and finalizes the award process</li> </ul>
65	<p>Which of the following responsibilities are usually handled by the EPA <i>Project Officer</i>?</p> <p>A. Administrative and financial components of the application and reviews for regulatory compliance</p> <p>B. Oversight of the assistance agreement process</p> <p>C. <b>Review and approval of the work plan</b></p>	<p>The EPA project officer manages the work plan components of an assistance agreement application:</p> <ul style="list-style-type: none"> <li>• Reviews the completed application and work plan against EPA'S program objectives and the guidance issued by EPA in the Catalog of Federal Domestic Assistance, Grants.gov, and by the regional office</li> <li>• Negotiates any outstanding work plan issues with the Tribal Nation</li> <li>• Works with EPA Headquarters to decide to award an assistance agreement to a specific Tribal Nation</li> <li>• Once negotiations are complete, sends a formal decision memorandum and electronic funding order to the EPA grants management official</li> </ul>

*Module 1: How It All Starts: The Grant Application Process*

Slide	Question (bold font indicates correct answer)	Explanation
68	<p>Which of the following responsibilities are usually handled by the EPA <i>Grants Specialist</i>?</p> <p>A. <b>Administrative and financial components of the application and reviews for regulatory compliance</b></p> <p>B. Oversight of the assistance agreement process</p> <p>C. Review and approval of the work plan</p>	<p>The EPA grants specialist clarifies administrative and financial components of the application:</p> <ul style="list-style-type: none"><li>• Reviews the application and budget for accuracy as well as regulatory and administrative requirements</li><li>• Contacts the EPA official project officer and/or the Tribal Nation for any additional information, if necessary</li></ul>