

**RAIN-2021-G03**

**2021-2024 Information Collection Request Renewal of EPA Assistance Agreement Forms**

**Effective/Notification Date:** September 23, 2021

**Purpose:** This Recipient/Applicant Information Notice (RAIN) informs recipients and applicants about updates to EPA’s assistance agreement forms.

**Policy Summary:** In accordance with the Paperwork Reduction Act (5 CFR 1320), EPA received approval from the Office of Management and Budget for the collection of information from EPA financial assistance applicants and recipients using existing EPA forms. EPA financial assistance applicants and recipients must use the updated forms available on EPA’s [Grantee Forms library](#) web page and discontinue using any previous version effective immediately, except for the two forms included as “mandatory” in Grants.gov funding packages (as further described below).

**Background:** Pursuant to the routine Information Collection Request (ICR) renewal process, EPA published a Federal Register notice on November 6, 2020 to inform members of the public that EPA intended to submit an ICR renewal entitled, “General Administrative Requirements for Assistance Programs” and to solicit public comments on specific aspects of the proposed information collection. One comment was received in response to this Federal Register notice; however, the comment was not related to the ICR renewal and therefore did not require a formal response. A second Federal Register notice was published on April 30, 2021 that provided an additional 30-day public comment period, consistent with the standard ICR process. No comments were received regarding the second Federal Register notice.

The table below lists EPA grantee forms that were included in the ICR and contains hyperlinks to the current versions. All forms are located on the [EPA Grantee Forms](#) library web page. The table also includes a brief description of significant changes to the forms, where applicable. All applicants and recipients are required to use the current versions of the forms (marked as approved through June 30, 2024).

EPA continues to work with Grants.gov to update the EPA forms that are hosted within the Grants.gov system, but EPA applicants and recipients will find that some of the forms in Grants.gov have not yet been updated. EPA advises EPA financial assistance applicants to continue to use the mandatory EPA forms that are listed in Grants.gov funding packages. The two mandatory EPA forms in Grants.gov funding packages are “EPA Form 4700-4” and “EPA Key Contacts Form 5700-54”, which are identified below in bold.

<b>Form Name and Number</b>	<b>Significant Revision</b>
<a href="#">EPA Form 190-F-04-001, “EPA Payment Request”</a>	No significant revisions made.
<a href="#">EPA Form 190-F-05-001, “Fellowship Stipend Payment Enrollment Form”</a>	No significant revisions made.
<b><a href="#">EPA Form 4700-4, “Preaward Compliance Review Report for All Applicants and Recipients Requesting Federal Financial Assistance”</a></b>	Streamlined the layout of the form and revised the wording of several questions to reduce the burden on recipients, added a field to collect information about the recipient point of contact, and changed the DUNS Number field to request Unique Entity Identifier (UEI).

<a href="#">EPA Form 5700-52A, "MBE/WBE Utilization Under Federal Grants and Cooperative Agreements"</a>	Fields relating to procurement dollar categories were revised to obtain more accurate data and reduce burden on recipients. In addition, fields relating to "Good Faith Efforts" were revised and restructured to improve the completion of the question while balancing associated recipient burden.
<a href="#">EPA Form 5700-53, "Lobbying and Litigation Certification for Grants and Cooperative Agreements"</a>	No significant revisions made.
<a href="#">EPA Form 5700-54, "Key Contacts Form,"</a> and <a href="#">EPA Form 5700-54-2, "Key Contacts Form for Multiple Principal Investigators"</a>	No significant revisions made.
<a href="#">EPA Form 5770-2, "Fellowship Application"</a>	No significant revisions made.
<a href="#">EPA Form 5770-3, "Fellowship Facilities and Commitment Statement"</a>	No significant revisions made.
<a href="#">EPA Form 5770-5, "Agency Fellowship Certification"</a>	No significant revisions made.
<a href="#">EPA Form 5770-9, "Completion of Studies Notice"</a>	No significant revisions made.
<a href="#">EPA Form 6600-06, "Certification Regarding Lobbying"</a>	No significant revisions made.
<a href="#">EPA Form 6600-08A, "Certificate of Indirect Costs For State &amp; Local Governments"</a>	This new form was extracted from the previously approved EPA Form 6600-08, which had combined the indirect cost certifications for both state and local/non-profit organizations. This new form includes updated regulatory citations and only contains the indirect cost certification for state and local governments to eliminate potential confusion regarding which portion of the form the recipient is required to complete.
<a href="#">EPA Form 6600-08B, "Lobbying Indirect Cost Certificate for Non-Profit Organizations"</a> and <a href="#">"Certificate of Indirect Costs for Indirect (F&amp;A) Cost Rate for Non-Profit Organizations"</a>	This new form was extracted from the previously approved EPA Form 6600-08, which had combined the indirect cost certifications for both state and local/non-profit organizations. This new form includes updated regulatory citations and only contains the lobbying certification and indirect cost certification for non-profit organizations to eliminate potential confusion regarding which portion of the form the recipient is required to complete.
<a href="#">EPA Form 6600-09, "EPA Administrative Capability Questionnaire"</a>	No significant revisions made.
<a href="#">NCER Form 5, "EPA Office of Research and Development Current and Pending Support"</a>	No significant revisions made.

**Related Resources:**

[EPA Grantee Forms Library](#)

[EPA RAIN-2018-G07-R2 Full Application Submission with Initial Proposal Submission Requirement](#)