

U.S. EPA, Region 9  
Grants Branch  
Spring RTOC  
April 27, 2022

**GRANTS UPDATES SESSION**

# WHAT WE WILL COVER TODAY

Grant Updates/Reminders

Proper Drawdowns

Preparing a Successful Grant Application



# GRANT UPDATES

## ❖ COVID Flexibilities for Grants

- Contact your EPA Project Officer & Grants Specialist (refer to page 1 of your Award)
- [EPA's Frequently Asked Questions \(FAQ\) about COVID-19](#)

## ❖ Unique Entity Identifier (UEI):

- Mid-April DUNS #'s have been replaced with "Unique Entity Identifier" (UEI) in the SF424 & EPA Form 4700-4 (Preaward Compliance Review)
- Use this [link](#) to find current forms available in Grants.gov

## ❖ NEW Financial Specialist at EPA Research Triangle Park Finance Center (RTPFC)

- Charlene Johnson at (919) 541-3582 or [Johnson.Charlene@epa.gov](mailto:Johnson.Charlene@epa.gov)
- RTPFC's email at [rtpfc-grants@epa.gov](mailto:rtpfc-grants@epa.gov)
- **TIPS:**
  - Respond quickly to messages from RTPFC to avoid possible non-compliance issues
  - Submit timely interim/annual and final Federal Financial Reports (SF 425) to [rtpfc-grants@epa.gov](mailto:rtpfc-grants@epa.gov)



# BREAKING NEWS!

## Tribal PPG and CWA 106 Cost Share Regulatory Class Exceptions

✓ **No more required cost share for PPGs (for new and supplemental awards made October 1, 2021, and after)!**

✓ RAIN 2022-G01: Class Exception to the Cost Share Requirements for Tribal and Intertribal Consortia Performance Partnership Grants (PPGs) of 40 CFR 35.536

✓ **No more required cost share for stand-alone Tribal CWA 106 (for new and supplemental awards made on April 5, 2022, and after)!**

✓ Class exception from the cost-share requirements of 40 CFR 35.585 for Office of Water's Clean Water Act (CWA) Section 106 grants is effective April 5, 2022, and applies only to new tribal or intertribal consortia standalone CWA Section 106 grants and new funding awarded via supplemental amendments to tribal or intertribal consortia standalone tribal grants. For more information [click here](#).



# ADDITIONAL TRAINING

Registration is open! EPA  
Grants Webinar Series for  
Grant Applicants and  
Recipients ([mailchi.mp](https://mailchi.mp))

01

Competition  
Process

April 28  
2-3pm ET

April  
28

02

Developing  
a Budget

May 05  
2-3pm ET

May  
05

03


Financial  
Management

May 10  
2-3:30pm ET

May  
10

Access Recipient/Applicant Information Notifications (RAINs) [here](#).

Sign up to receive Recipient/Applicant Information Notifications (RAINs) and join the listserv: [EPA Grants Update Listserv](#)

The image features a white outline of an envelope with three horizontal lines on the left side, suggesting motion or delivery. Inside the envelope is the official seal of the United States Environmental Protection Agency (EPA). The seal is circular and contains the text "ENVIRONMENT • UNITED STATES • AGENCY" around the perimeter. In the center of the seal is a stylized globe with a green leaf growing from the top. The entire graphic is set against a green background with a subtle gradient and a white border at the top.

**Subscribe to Our Listserv**

EPA's Office of Grants and Debarment has a new listserv to send out information to grant recipients and potential applicants. [Subscribe today!](#)

# PROPER PAYMENT DRAWDOWNS

Recipients must only draw funds for the minimum amounts needed for actual and immediate cash requirements for allowable costs under the assistance agreement.

The timing and amounts of the drawdowns must be as close as administratively feasible to actual disbursement of EPA funds. Disbursement within 5 business days of the drawdown will materially comply with this requirement. [RAIN-2018-G06-R](#)





## PROPER PAYMENT DRAWDOWNS — TIME KEEPING

The recipient's personnel payroll and records system must be capable of providing reports on the activities of each employee who works directly on a grant.

Charges to federal awards for salaries and wages must be based on records that accurately reflect the work performed.



# PROPER PAYMENT DRAWDOWNS

- **Recipient accepts award conditions by (1) drawing down on the award or (2) NOT sending a written notice of disagreement within 21 days.**
  - The recipient accepts conditions of the award agreement by drawing down funding. If the recipient disagrees with the terms and conditions or do not wish to accept EPA funding, the authorized representative must send a written notice of disagreement to the EPA Award Official within 21 days of the award's mailing date to EPA Region 9's email address at [GrantsRegion9@epa.gov](mailto:GrantsRegion9@epa.gov).
- **DO NOT drawdown the entire grant amount at once.**
  - If a recipient draws down funds in excess of the allowed amount, the recipient must **IMMEDIATELY** contact EPA's RTPFC at [rtpfc-grants@epa.gov](mailto:rtpfc-grants@epa.gov) for instructions on how to return the funds to EPA.



# PREPARING YOUR GRANT APPLICATION

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# R9 APPLICATION GUIDE







**How to Fastrack Your Grant Application Package for EPA Region 9 Awards Review & Approval**

The on-time review, approval and issuance of your EPA award document greenlights the conforming on-track implementation phase of your grant project. Achieving the timely awarding of a grant from EPA Region 9 is attributed to: (a) submitting all the required EPA forms and supporting documents (2) providing current and up-to-date grant information, creating a descriptive and comprehensive workplan/project narrative, and submitting a grant Budget Detail that meets all the EPA budget development prerequisites.

| ✓                        | REQUIRED FORMS  |
|--------------------------|---|
| <input type="checkbox"/> | <b>1.</b> SF424 Application for Federal Assistance  |
| <input type="checkbox"/> | <b>2.</b> SF424A <ul style="list-style-type: none"> <li>- Section A Budget Information Non-Construction Programs</li> <li>- Section B Budget Categories</li> <li>- Section C Non-Federal Resources</li> </ul> |
| <input type="checkbox"/> | <b>3.</b> Budget Detail – (See Budget Development Guidance link under “How Do I Create a Revision-Free Budget Detail on next page)  |
| <input type="checkbox"/> | <b>4.</b> EPA 5700-54 EPA Key Contacts Form   |
| <input type="checkbox"/> | <b>5.</b> EPA 4700-4 Preaward Compliance Review Report for All Applicants and Recipients Requesting Federal Financial Assistance  |
| <input type="checkbox"/> | <b>6.</b> Final/Approved Grant Workplan   |
| <input type="checkbox"/> | <b>7.</b> Current Indirect Rate Cost Negotiation Agreement (if applicable)  |
| <input type="checkbox"/> | <b>8.</b> EPA 6600-06 Certification Regarding Lobbying (see submission on next page)  |
| <input type="checkbox"/> | <b>9.</b> SF-LLL Disclosure of Lobbying Activities (if applicable) and/or EPA Financial Conflict of Interest Policy (if applicable*)  |

**Checklist Questions for Your Grant Application Package**

|                  |  |
|------------------|--|
| <b>1: SF 424</b> | <ul style="list-style-type: none"> <li>• Is the SAM.gov registration current?</li> <li>• Is the EPA federal funding and Applicant funding amounts correct?</li> <li>• Periodically, Congress releases additional funds for grant programs, and you may receive an EPA notification of an increase in your approved grant funding amount. This requires a modification on the previously submitted SF424 form. To acknowledge the higher EPA funding, was Section 18 of the SF424 revised, including the 424A forms (through a manual or digital pen and ink notation) to reflect the new EPA funding amount and/or new recipient cost share amount? Additionally, did you secure a new dated signature from your Authorized Representative for the revised forms?</li> </ul> |
|------------------|--|

|   |   |
|---|---|
| <b>2: 424A</b>  | <ul style="list-style-type: none"> <li>• On Section B-Budget Categories page, are all the proposed EPA share of the expenses listed on Column 1?</li> <li>• On Section B-Budget Categories page, if a recipient cost-share is required, is the expense category source(s) of the recipient cost share listed on Column 2?</li> <li>• On Section B-Budget Categories page, are the EPA and/or combined EPA and recipient expense totals entered on Column 5?</li> </ul>  |
| <b>3: Budget Detail</b>   | <ul style="list-style-type: none"> <li>• Most grant application errors occur in the Budget detail. Some common mistakes: mis-categorization of budget line items, miscalculation of indirect costs and missing cost-share amount.</li> <li>• Are all proposed expenses categorized in correct object class categories (Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Other, Indirect Charges)? For example, was the item correctly categorized as a Supplies expense versus an Equipment or Other expense?</li> <li>• Are there subawards or participant costs involved?</li> <li>• The EPA Budget Development Guidance provides instructions and a sample on how to create a quality Budget Detail: RAIN-2019-G02: Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance: <a href="https://www.epa.gov/grants/rain-2019-g02">https://www.epa.gov/grants/rain-2019-g02</a></li> </ul> |
| <b>4: EPA 5700-54</b>   | <ul style="list-style-type: none"> <li>• Are the names of the Authorized Representative, Payee, Administrative and Project Manager for the grant project listed?</li> <li>• Note: For internal control purposes, the same individual cannot be identified for all positions. EPA is required to check individual names on the SF424 and Form 5700-54 for “excluded parties” via SAM.gov (excluded individuals are debarred or suspended by the federal government).</li> </ul>  |
| <b>5: EPA 4700-4</b>  | <ul style="list-style-type: none"> <li>• Are <u>all</u> questions answered? Do not leave a question unanswered – sections which do not apply should be answered as N/A (not applicable).</li> </ul>   |
| <b>6: Final/Approved Workplan</b>   | <ul style="list-style-type: none"> <li>• Does the workplan outlines all activities to be performed, summarizes the outputs (deliverables) and outcomes, and includes a schedule for milestones, project completion and deliverables?</li> <li>• Does the workplan provides a budget narrative that links a budget to workplan activities?</li> </ul>  |
| <b>7: Current Indirect Cost Negotiation Agreement</b>   | <ul style="list-style-type: none"> <li>• If indirect expenses are in the proposed budget, is a copy of the latest and approved Indirect Cost Negotiation Agreement from the cognizant agency attached?</li> <li>• Note: Indirect Cost Negotiation Agreements that are over 4 years old cannot be used for budgeting purposes.</li> </ul>  |
| <b>8: EPA 6600-06</b>   | <ul style="list-style-type: none"> <li>• The Certification of Lobbying form must be submitted for all new grant applications with funding request totaling over \$100,000, or amendment grants that have reached the cumulative federal total of over \$100,000. This form is submitted one time for the life of the grant.</li> <li>• Is the form dated and signed by the Authorized Representative?</li> <li>• Note: EPA Project Control Number section can be left unanswered or enter “N/A.”</li> </ul>   |
| <b>9: SF-LLL Disclosure of Lobbying Activities and/or EPA Financial Conflict of Interest Policy</b> | <ul style="list-style-type: none"> <li>• These form submittals are rare, but not uncommon. For information regarding the EPA Conflict of Interest, refer to: <a href="https://www.epa.gov/grants/epas-financial-assistance-conflict-interest-policy">https://www.epa.gov/grants/epas-financial-assistance-conflict-interest-policy</a></li> </ul>   |

- SF424 – Application for Federal Assistance
- SF424 A Section B – Budget Categories
- Budget Detail
- Final/Approved Workplan
- Current Indirect Rate Cost Agreement (if applicable)
- EPA Key Contacts Form 5700-54
- Preaward Compliance Review Form 4700-4
- Certification Regarding Lobbying Form 6600-06 (required for grants totaling over \$100,000 federal amount cumulatively)**
- Disclosure of Lobbying Activities Form SF-LLL (as applicable)
- Financial Assistance Conflict of Interest statement (as applicable)

**(PLEASE NOTE: UEI #'s are required as of April 4, 2022)**

# REQUIRED FORMS



# WAYS TO AVOID DELAYS IN YOUR AWARD

## Review

Review the R9 Application Guide for FY2022 and use the provided checklist to see all that is required

## Double Check

Ensure all required forms are signed appropriately & included, especially your latest IDC approved rate agreement & signed Certification Regarding Lobbying (required if federal funding awarded is greater than \$100,000 for the life of the grant)

## Register

Check your SAM.gov registration is up to date

- Starting April 4, 2022, recipients must use a Unique Entity Identifier (UEI). Don't wait to register!





## EPA REGION 9 GRANTS HANDBOOK

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

U.S. EPA Region 9 | 75 Hawthorne Street, San Francisco CA 94105

Serving Arizona, California, Hawaii, Nevada, Pacific Islands and 148 Tribes

## EPA Grants Management Training for Applicants and Recipients

Visit our new [online training course](#) is designed to introduce EPA grant applicants and recipients to key aspects of the entire grant life cycle.



### Quick Links

- [Grants.gov](https://www.grants.gov)
- [System for Award Management \(SAM\)](https://www.sam.gov)
- [CFDA \(now Assistance Listings on beta.SAM.gov\)](https://www.beta.sam.gov)
- [Beta.USASpending.gov](https://www.usaspending.gov) (Current) & [USASpending.gov](https://www.usaspending.gov) (Legacy)
- [EPA Financial Services \(Receive a Payment\)](#)
- [Disadvantaged Business Enterprises \(DBE\)](#)

<https://www.epa.gov/grants/epa-grants-management-training-applicants-and-recipients>



**A TRIBAL PERSPECTIVE —  
DAVE LEWIS**

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# GAP GRANT Timeline



**MANAGER CREATES BUDGET**  
EPD Manager creates the GAP budget line items.

**ADDITIONAL EPA GRANTS SUBMITTED TO REGION 9**  
EPD submit CWA 106, 319 Base grants annually, 319 Competitive as needed.

**QUESTIONS?**



# GRANTS.GOV Timeline



# GRANTS.GOV Timeline



what

where

who



how

when

why





THANK YOU!

OUR PRESENTERS TODAY:

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