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2025 EPA Region 9 Grant Application Guide

U.S. EPA Region 9: Serving Arizona, California, Hawaii, Nevada, Pacific Islands and 148 Tribal Nations

Are you a new EPA Grant Applicant?

This application guide provides handy information to help you start putting together your grant application package and submitting it to us.

You'll find:

> **If you are new EPA Grant Applicant/Recipient or a prior EPA grant recipient whose last EPA award was October 2014:**
>
> EPA RAIN-2024-G01 requires that you take the following two (2) trainings:
>
> 1. EPA Grants Management Training for Applicant and Recipients
> 2. How to Develop a Budget

Are you an existing/returning EPA Grant Recipient?

The three items listed below are the most commonly missed documents in grant application packages. Make sure that you've checked and accounted for these required documents/registrations (as applicable) in your Grants.gov submission:

❶   SAM.gov Registration (Current)

❷   Indirect Cost Rate Agreement-IDC (Most-recently approved IDC accepted. Expired IDC is allowed only for budgeting purposes. Recipients may not draw down on an expired IDC)

❸   Certification Regarding Lobbying Form (EPA Form 6600-06)

Refer to this guide for more detailed information.

CONTINUING ENVIRONMENTAL PROGRAMS (CEP) APPLICATIONS:

Applicants must be cognizant of CEP application due date when submitting via Grants.gov. Late submissions can impact ongoing activities under their environmental program**. CEP applicants should submit a complete application to EPA at least 60 days before the start of its proposed project funding period.** All costs incurred before EPA makes the award are at the recipient's risk. EPA is under no obligation to reimburse such costs if for any reason the recipient does not receive a federal award or if the federal award is less than anticipated and inadequate to cover such costs.

Getting There from Here: Application Planning

Whether you are a new EPA grant applicant or a previous EPA grant recipient, the list of forms we look for in your grant application package are the same. We check for a total of eight forms and an additional three forms (if applicable). Page 3 lists all the required forms. Separately, we check if your SAM.gov registration is current, and if you are budgeting for indirect costs in the grant budget, a copy of your most current Indirect Cost Rate Agreement (ICRA) is essential. Obtaining a SAM.gov registration and an Indirect Cost Rate Agreement takes time, so plan accordingly.

What's SAM.gov?

SAM.gov (System for Award Management) is a government-wide registry for entities doing business with the federal government. Registration is free and requires annual renewal. Unique Entity Identifier (UEI) numbers have replaced DUNS numbers in SAM.gov. If your organization had a prior DUNS number, check your SAM.gov account for UEI number issuance.

For assistance with SAM.gov issues, contact fsd.gov or the Federal Service Desk at 1-866-606-8220 (Monday-Friday, 8 a.m.-8 p.m. ET).

About Indirect Costs (if Indirect Costs are included in the grant budget)
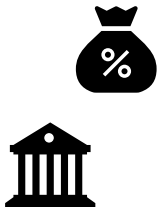
Indirect costs are costs that benefit more than one cost objective and are not readily identifiable with a particular grant. Examples of indirect costs are accounting, human resources, payroll, and utilities. Plan ahead if you anticipate budgeting for indirect costs on your EPA grant project. New indirect cost rate proposals are due to your organization's cognizant agency within six months after your accounting year ends. **Your organization may draw down grant funds for indirect costs only when a current and approved Indirect Cost Rate Agreement is in place**. For additional guidance on EPA's policy on indirect costs, refer to Indirect Cost Rate Guidance for Recipients of EPA Assistance Agreements.

Grants.gov

Grants.gov centralizes all the different grant programs federal grant-making agencies offer, including EPA. Registering and opening an account allows you to search for grant funding opportunities and submit applications to the selected agencies. Some of the resources available on the website are helpful tutorials on grant writing, using the Grants.gov Workspace application, and general information on applying for a federal grant.

Grants Help for Our Applicants and Recipients

The EPA grants website provides a broad spectrum of information, training modules, grantee forms, and webinars. As a starting point for understanding the grant lifecycle and learning how to prepare the grant application to closing the grant, we recommend the online training course "EPA Grants Management Training for Applicants and Recipients" and "How to Develop a Budget." Additionally, contact your Region 9 Grants Specialist for several other grant toolkits that we specifically created for our Region 9 applicants and recipients.

Your Checklist of the Mandatory EPA Region 9 Grant Application Forms

The following forms/information from 1-8 are **MANDATORY**, and 9-11 are required if applicable. Download the EPA Grantee Forms.

1. ☑ **Application for Federal Assistance (SF 424)** with authorized signature submitted.

2. ☑ **Budget Information for Non-Construction Programs (SF 424A).** See Region 9 Sample on page 5.

3. ☑ **Budget Detail-Breakdown by Object Class Categories**. See Region 9 Sample on page 6. For reference see RAIN-2019-G02 at https://www.epa.gov/grants/rain-2019-g02

4. ☑ **Final Approved Work Plan** with tasks, milestones, and expected environmental results or outcomes. This is an outline of required Work Plan elements as determined by Region 9. Please contact your EPA Project Officer for details.

5. ☑ **Current Indirect Cost Rate Negotiation Agreement (ICRA).** If applicable, include Rate and Signature pages (i.e., Sections 1 and 3) of the approved ICRA with the application. EPA's Indirect Cost Guidance for Recipients of Assistance Agreements is available at: https://www.epa.gov/grants/rain-2018-g02-r. Before drawing down EPA funds for indirect costs, recipient must have an EPA-approved budget that includes indirect costs (IDC) and a most-recently approved ICRA (not expired). The approved ICRA must match the timeframe of the IDC incurred. Refer to EPA policy on using an expired ICRA for budgeting purposes.

6. ☑ **EPA Key Contacts** Form.

7. ☑ **Pre-Award Compliance Review Report (EPA Form 4700-4)**, current form with authorized signature. Do not leave questions unanswered. If a question does not apply, enter N/A (not applicable). Instructions link: Tips for Completing EPA Form 4700-4

8. ☑ **Certification Regarding Lobbying (EPA Form 6600-06)** with current authorized signature for the application year. All applicants, including Tribes, are required to submit this certification if the total federal dollar awarded to the applicant/recipient is greater than $100,000 for the life of the grant.

9. ❒ **Disclosure of Lobbying Activities (Form SF-LLL)**, with authorized signature attached to the grant application package. For all other applicants, form is required for reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action or a material change to a previous filing, pursuant to Title 31 U.S.C Section 1352. Purpose of form is to disclose lobbying activities that have been secured to influence the outcome of a federal grant action.

10. ❒ **EPA Financial Conflict of Interest (COI) Policy**. Conflicts of Interest (COI): An actual or potential situation that undermines, or may undermine, the impartiality of an individual or non-federal entity because their self-interest conflicts, or may conflict, with their duty and obligations to EPA and the public in performing an EPA financial assistance agreement. The term also includes situations that create, or may create, an unfair competitive advantage, or the appearance of such, for an applicant in competing for federal financial assistance from the EPA. If applicable, the applicant's conflict of interest disclosure statement must be prominently titled and attached to the SF 424. If applicable, attach COI statement to Form SF424. EPA COI Policy is at https://www.epa.gov/grants/epas-financial-assistance-conflict-interest-policy.

11. ☐ Additional information for **SF424, Block #19 (if applicable):** Block 19: Is application subject to review by State under Executive Order 12372 Process?

All applicants (except Tribal Governments) should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State Review process. Select the appropriate box.

If Box "a" is selected, enter the date the application was submitted to the State SPOC (generally, applicants must submit the SF 424 or summary thereof to the State SPOC to meet Executive Order 12372 requirement).

EPA Intergovernmental Review: https://www.epa.gov/grants/rain-2021-g02

State of Arizona:
https://grants.az.gov/grants-and-ecivis-resources/spoc-clearinghouse

State of California:
https://cfda.opr.ca.gov/
https://www.dgs.ca.gov/Resources/SAM/TOC/900/0911

State of Nevada:
https://ofa.nv.gov/

Region 9 Samples of a Completed SF424A and Budget Detail

If your application for an EPA grant program requires a recipient cost-share, enter on Column 1 (and assign as "Federal/EPA") all the object class categories applicable for EPA's share of the grant funding, and enter on Column 2 (assign as "Recipient Cost Share") your organization's cost share of the grant funding. Sample below are entries entered for EPA and recipient for a grant program that requires a recipient cost share. The next page shows a sample of a descriptive Budget Detail.

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) Federal	(2) Recipient Cost Share	(3)	(4)	TOTAL
a. Personnel	18,631	4,800	$	$	$ 23,431
b. Fringe Benefits	5,776	1,488			$ 7,264
c. Travel	7,142				$ 7,142
d. Equipment	25,500				$ 25,500
e. Supplies	5,325				$ 5,325
f. Contractual	136,720	20,000			$ 156,720
g. Construction					
h. Other	39,000	2,812			$ 41,812
i. Total Direct Charges (sum of 6a-6h)	238,094	29,100			$ 267,194
j. Indirect Charges	14,480				$ 14,480
k. TOTALS (sum of 6i and 6j)	$ 252,574	$ 29,100	$	$	$ 281,674
7. Program Income	$	$	$	$	$

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SECTION C - NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	66.436 - CWA project	$ 252,574	$	$ 29,100	$ 281,674
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)		$ 252,574	$	$ 29,100	$ 281,674

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 252,574	$ 63,144	$ 63,143	$ 63,144	$ 63,143
14. Non-Federal	$ 29,100	7,275	7,275	7,275	7,275
15. TOTAL (sum of lines 13 and 14)	$ 281,674	$	$	$	$

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)		$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	Personnel + Fringe + $30,000 of Subaward Costs = $60,695	22. Indirect Charges:	$60,695 x 23.86% = $14,480
23. Remarks:	Indirect cost rate based on negotiated indirect cost rate agreement with cognizant federal agency.		

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RAIN-2019-G02: Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance

https://www.epa.gov/grants/rain-2019-g02

SAMPLE Budget Detail/Narrative

Background: This fictitious sample budget detail/narrative is based on a hypothetical EPA assistance agreement supporting a Clean Water Act project that involves water quality sampling, analysis of the results, and outreach to the public to encourage efforts to improve water quality. The agreement requires a recipient cost share of 10% of total project costs.

Notes:

- Budget must include both federal and required non-federal cost share.

- Applicant should identify its equipment cost threshold if it is lower than the $10,000 level specified at 2 CFR 200.1

- This sample calls for the applicant to attach a copy of its negotiated indirect cost rate agreement. If an applicant does not have a negotiated rate, it can elect to apply the 15% de minimus rate (based on modified total direct cost). For more information about indirect costs, refer to EPA's indirect cost policy and guidance in RAIN-2018-G02

Budget Detail/Narrative Sample

Personnel:

	Requested from EPA	Cost Share from applicant (if applicable)	Total
Salaries and Wages			
(1) Project Manager @ $47/hr x 323 hours	$15,181		$15,181
(1) Project Assistant @ $24/hr x 200 hours		$4,800	$4,800
(1) Project Coordinator @ $23/hr x 150 hours	$3,450		$3,450
Total	$18,631	$ 4,800	**$23,431**

Fringe Benefits:

Rate/Base/Composition	Requested from EPA	Cost Share from applicant (if applicable)	Total
31% of Personnel costs (FICA, retirement, health, vacation, sick leave)	$5,776	$1,488	**$7,264**

Travel:

See Narrative Note 1.	Requested from EPA	Cost Share from applicant (if applicable)	Total
2 National Conferences including lodging, air, per-diem and registration fees for 2 employees. *(See Narrative Note 2.)*	$4,492		$4,492
Local travel for sampling and meetings. (P.O.V. @ $0.58 per mile and actual cost for public transit)	$150		$150
Travel to one-week training course on innovative sampling techniques including lodging, train and per-diem for 1 employee. *(See Narrative Note 3.)*	$2,500		$2,500
Total	$7,142		**$7,142**

Equipment: (Equipment Capitalization Threshold = $10,000)

Description	Purpose	Unit Cost	Quantity	Requested from EPA	Cost Share from applicant (if applicable)	Total
Microwave Digester	Lab Analysis	$15,500	1	$15,500		$15,500
12 Foot Motorized Skiff and trailer. *(See Narrative Note 4.)*	Sampling		1	$10,000		$10,000
Total				$25,500		**$25,500**

Supplies:

Type	Requested from EPA	Cost Share from applicant (if applicable)	Total
Computer Software	$1,500		$1,500
Office Supplies (pens, pencils, paper, chairs, etc.)	$825		$825
2 Lap Top Computers @ $1,500 each.	$3,000		$3,000
Total	$5,325		**$5,325**

Contractual:

Contractual * (competitive process will be used to determine contractors when required by regulation)	Requested from EPA	Cost Share from applicant (if applicable)	Total
Advertising for public meetings (Newspapers)	$1,000		$1,000
Environmental Sampling Firm to design sampling protocol and assist with data evaluation.	$120,000	$20,000	$140,000
Meeting Facilitator - $524/ day x 30 days (rate complies with limitation on individual consultant fees)	$15,720		$15,720
Total	$136,720	$20,000	**$156,720**

Other:

Type	Requested from EPA	Cost Share from applicant (if applicable)	Total
Postage for Flyers for meetings.		$612	$612
Subaward to Friends of the Wolf River *(See Narrative Note 5)*	$30,000		$30,000
Participant Support Costs: Travel to National Conference for 4 project volunteers *(See Narrative Note 6)*	$9,000	$1,000	$10,000
Printing Costs (Occasional use of large copiers at Office Depot).		$1,200	$1,200
Total	$39,000	$2,812	**$41,812**

Indirect Costs:

Base *(See Narrative Note 7)*	Requested from EPA	Cost Share from applicant (if applicable)	Total
23.86% of Personnel and Fringe Benefits and $30,000 of Subaward Costs	$14,480		**$14,480**

Total Budget Summary:

	Requested from EPA	Cost Share from applicant (if applicable)	**Total**
Personnel	$18,631	$ 4,800	**$23,431**
Fringe Benefits	$5,776	$ 1,488	**$7,264**
Travel	$7,142		**$7,142**
Equipment	$25,500		**$25,500**
Supplies	$5,325		**$5,325**
Contractual	$136,720	$20,000	**$156,720**
Other	$39,000	$2,812	**$41,812**
Indirect Costs	$14,480		**$14,480**
Total	**$252,574**	**$29,100**	**$281,674**

Recipient cost share calculation: $29,100 \div $281,674 = 10.33\%

Narrative Note 1. There is no international travel for this project.

Narrative Note 2. The Project Manager and Coordinator will make presentations on interim and final project results at the National Program conferences. Travel reimbursement will be based on GSA per-diem rates.

Narrative Note 3. The Program Assistant will attend a one-week training on innovative sampling techniques at Tulane University.

Narrative Note 4. Our equipment threshold is $10,000. We have determined based on the frequency and timing of the sampling activity that purchasing a small, motorized skiff and a trailer is more cost effective than boat rentals. Additionally, some sampling will take place in remote areas in which boat rentals are not available.

Narrative Note 5. We will partner with Friends of the Wolf River to encourage public participation in the project. Friends is a 501(c)(3) nonprofit organization that promotes conservation of the Wolf River. Among other things, Friends will pay stipends and travel support to project volunteers who attend focus groups and participate in training to prevent disposal of cooking grease in household drains. Friends of Wolf River understands that the stipends and participant travel are Participant Support Costs that are excluded from its Modified Total Direct Cost base for distributing indirect costs.

Narrative Note 6. Four project volunteers (non-staff) will attend National Program conferences (two at each conference) to participate in our presentations.

Narrative Note 7. We have attached our most recent negotiated indirect cost rate agreement.

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Grants.gov Primer

Grants.gov is the centralized website for federal agencies to post grant funding opportunities and serves as portal site for applicants to search and apply for these grants. New grant applicants must sign up and register on Grants.gov to obtain Workspace access on the site.

1. Getting the EPA Funding Opportunity Number (FON)

- Competitive Programs: Refer to the competitive solicitation for the applicable FON. Applicant will enter this into the "Funding Opportunity Number" field to locate the application package.
- Non-Competitive Discretionary Programs: Obtain FON from your EPA Point of Contact (POC). Applicant will enter this into the "Funding Opportunity Number" field to locate the application package.
- EPA's Continuing Environmental Programs (CEPs): The list of available Assistance Listing (formerly Catalog of Federal Domestic Assistance [CFDA]) Numbers for CEPs have been divided between two FONs. The two FONs used to access the application packages are "**EPA-CEP-01**" and "**EPA-CEP-02**."

  Use "**EPA-CEP-01**" for Assistance Listing (CFDA) Numbers 66.001 through 66.605.
  Use "**EPA-CEP-02**" for Assistance Listing (CFDA) Numbers 66.204, 66.442, 66.444, 66.447 and 66.700 through 66.964.

  NOTE: For instructions for applying under Assistance Listing Number 66.806 (Superfund Technical Assistance Grants), contact the EPA Project Officer.

2. Locating the Application Package on Grants.gov:
- Go to https://www.grants.gov/ and locate "Applicants" TAB option
- Select "How to Apply for Grants"
- Click the "Search for Opportunity Package" button (Red Button - lower right side of your screen)
- Enter the FON into the "Funding Opportunity Number" field and click the "Search" button (FON is case sensitive)
- Scroll down the page to locate the Assistance Listing (CFDA number) for the application package

3. Reminders:

- <mark>Do NOT use the "SEARCH" bar located at the top right of the screen to find Application Packages.</mark> Follow the instructions on the Funding Opportunity Number (FON) to locate to correct "Search" bar.

- The FON is case sensitive.

- Ensure that you and others in your organization have the right role(s) and access on Grants.gov Workspace. Your organization's EBiz point of contact (POC) is the person that authorizes or assigns Grants.gov roles. Learn how to use Workspace: https://youtu.be/XCRQTa-IpjQ

- Technical Questions or Issues? User Support Center at: https://grants.gov/support/

  Contact Grants.gov Support by phone (1-800-518-4726) or email (support@grants.gov). Assistance is available 24 hours a day, 7 days a week (closed during federal holidays). When contacting a Grants.gov technician for help/support, obtain the **Ticket Number** assigned to it. The **Ticket Number** will help identify and properly track it for resolution.

  Users wanting to check the status of their pending request can use the search function by entering the **Ticket Number** at: https://gditshared.servicenowservices.com/hhs_grants

  Users needing assistance can also **Create a Ticket** directly online at: https://gditshared.servicenowservices.com/hhs_grants

- A series of automated emails is generated by Grants.gov during the application submission process. The Grants.gov messages provide important status information of your application during the submission process. Monitor these messages for progress tracking purposes.

<u>**Sample Grants.gov Email – Application Sent to Funding Agency**</u>

From: DoNotReply@grants.gov <DoNotReply@grants.gov>
Sent: Tuesday, December 25, 2019 4:32 AM
To: Jane.Doe@happycamp.org
Subject: GRANT12345678 Grants.gov Agency Tracking Number Assignment for Application

Grantor agency has assigned the following Agency Tracking Number to your application:
e9466bf2-797a-4cfc-b013-7bb696001c1bGRANT12345678.

You will need the Agency Tracking Number when corresponding with the Grantor agency about your application.

Use the Grants.gov Tracking Number at Grants.gov to check your application's status and to review your Agency Tracking Number:

    Type: GRANT
    Grants.gov Tracking Number: GRANT12345678
    DUNS Number: 9876543210000
    AOR name: Jane Doe
    Application Name: Clean Environment Grant Program
    Opportunity Number: EPA-CEP-01
    Opportunity Name: EPA Mandatory Grant Programs

Thank you.
Grants.gov

If you have questions, please contact the Grants.gov Contact Center: support@grants.gov 1-800-518-4726 24 hours a day, 7 days a week. Closed on federal holidays.

CONTINUING ENVIRONMENTAL PROGRAMS (CEPs)
EPA MANDATORY GRANT PROGRAMS (subject to change)

ASSISTANCE LISTING (CFDA) UNDER EPA-CEP-01

CFDA Number	Program Title
66.001	Air Pollution Control Program Support
66.032	State Indoor Radon Grants
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act
66.038	Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent with the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality
66.040	State Clean Diesel Grant Program
66.042	Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program
66.121	Puget Sound Protection and Restoration: Tribal Implementation Assistance Program
66.124	Coastal Wetlands Planning Protection and Restoration Act
66.125	Lake Pontchartrain Basin Restoration Program (PRP)
66.202	Congressionally Mandated Projects
66.418	Construction Grants for Wastewater Treatment Works
66.419	Water Pollution Control State, Interstate, and Tribal Program Support
66.432	State Public Water System Supervision
66.433	State Underground Water Source Protection
66.437	Long Island Sound Program
66.454	Water Quality Management Planning
66.456	National Estuary Program
66.458	Capitalization Grants for Clean Water State Revolving Funds
66.460	Nonpoint Source Implementation Grants
66.466	Chesapeake Bay Program
66.468	Capitalization Grants for Drinking Water State Revolving Funds
66.469	Great Lakes Program
66.472	Beach Monitoring and Notification Program Implementation Grants
66.473	Direct Implementation Tribal Cooperative Agreements
66.481	Lake Champlain Basin Program
66.482	Disaster Relief Appropriations Act (DRAA) Hurricane Sandy Capitalization Grants for Clean Water State Revolving Funds
66.483	Disaster Relief Appropriations Act (DRAA) Hurricane Sandy Capitalization Grants for Drinking Water State Revolving Funds
66.508	Senior Environmental Employment Program
66.517	Regional Applied Research Efforts (RARE)
66.518	State Senior Environmental Employment Program
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support
66.605	Performance Partnership Grants

CONTINUING ENVIRONMENTAL PROGRAMS (CEPs)
EPA MANDATORY GRANT PROGRAMS (subject to change)

ASSISTANCE LISTING (CFDA) UNDER EPA-CEP-02

CFDA Number	Program Title
66.204	Multipurpose Grants for States and Tribes
66.442	Assistance for Small and Disadvantaged Communities Drinking Water Grant Program
66.444	Lead Testing in School and Child Care Program Drinking Water
66.447	Sewer Overflow and Stormwater Reuse Municipal Grant Program
66.700	Consolidated Pesticide Enforcement Cooperative Agreements
66.701	Toxic Substances Compliance Monitoring Cooperative Agreements
66.707	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals
66.716	Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies
66.801	Hazardous Waste Management State Program Support
66.802	Superfund State, Political Subdivision, and Indian Tribe Site- Specific Cooperative Agreements
66.804	Underground Storage Tank Prevention, Detection and Compliance Program
66.805	Leaking Underground Storage Tank Trust Fund Corrective Action Program
66.808	Solid Waste Management Assistance Grants
66.809	Superfund State and Indian Tribe Core Program Cooperative Agreements
66.817	State and Tribal Response Program Grants
66.926	Indian Environmental General Assistance Program (GAP)
66.931	International Financial Assistance Projects Sponsored by the Office of International Affairs
66.961	Superfund State and Indian Tribe Combined Cooperative Agreements (Site-Specific and Core)
66.964	Geographic Programs – Chesapeake Bay Program