

March 2019

# Grants 101

# Finding Opportunities

- Grants.gov
  - Search by keywords, CFDA number, funding agency, and more
- Beta.SAM.gov
  - Learn more about the programs each Agency funds using the Assistance Listing

# Take Your Time

- Learn about the funding agency
- Read the opportunity thoroughly
- Research and complete your application

# Determine Viability of Applying

- Do you have enough time?
- Do you have the capability?
- Are the budget and resource requirements appropriate?
  - Consider match or cost share requirements
- Are your partners and stakeholders on board and available?

# Developing Your Project

- Problem statement: What problem are you solving?
- Project Objectives: What are your goals?
- Project Activities: What will you do to achieve the goals?
- Project design and methodologies
  - Timeline, deliverables, outputs, outcomes
- Key Personnel and Staffing
- Budget
- Evaluation

# Problem Statement

- Well-supported statement of the problem/project
- Clear, concise
- Specifies manner in which the problem will be solved through the requested funding
- Cite relevant and recent work completed and/or reference other successes

# Outcomes

- Develop outcome measures
  - See funding opportunity announcement
  - Environmental Results ([EPA Order 5700.7A1](#))
- Establish procedures needed to measure outcomes
  - Project/product evaluation
  - Process evaluation

# Budget

- Budget transforms your project plan into monetary needs
- Requested costs – your estimate of funds needed to complete your plan/project
- Requested funds must meet cost principles ([2 CFR 200 Subpart E](#))
- Match or cost share
- Program Income: income earned as a direct result of grant supported activities; may be added to EPA funding for allowable costs or used as cost share depending on terms of agreement.
- Approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner



# Direct Costs

## Personnel

recipient employees (on the payroll for tax purposes) supported grant funds—does not include consultants and other contractors

## Fringe Benefits

for grant supported staff

## Travel

costs from required travel for employees (justification and detailed estimated costs) but not program participants or consultants

## Equipment

\$5,000 or more – defined as tangible personal property having a useful life of more than one year

# Direct Costs cont.

## Supplies

- consumable, expendable cost items as well as computing devices with unit costs of less than \$5,000

## Contractual

- outside resources providing services or products including consultants

## Construction

- costs associated with construction where statutorily authorized

## Other

- not easily associated in another category, i.e.: subawards, participant support costs (e.g. trainee and intern stipends and travel, leases, etc)

# Indirect Costs (IDCs)

- Operating costs associated for an organization that are considered overhead costs and not directly charged to the grant (usually the administrative services of an organization)
- Based on a Cost Allocation Plan (CAP) submitted to the organization's cognizant agency
- Flat Rate of 10% - See 2 CFR 200.414(f)
- Review [EPA's Policy, Guidance, Q&As, and Training](#) on IDCs
- See 2 CFR 200.414 for Indirect Cost information

# Negotiating the Award

For competitive awards the negotiation process is minimal

- Negotiate deliverable dates, timelines, etc
- No substantive changes

For non-competitive awards the negotiation process may be extensive

- give-and-take negotiation of all aspects of the award, including the scope of work, funding levels, inclusion of milestones, the budget, and the terms and conditions

# Pre-award Certification

- Non-profit Awardee Assessment
  - Funds deposited in separate account
  - Written accounting procedures
  - Accounting system to separately track all expenditures and drawdowns vs. budget
  - Inventory system in place
  - Procurement procedures
  - Codes of conduct
  - Record retention

# Notice of Award

- Grants Management Office prepares and signs the grant award, certifying that the award complies with all legal, regulatory, and internal policy requirements and that it is a sound business agreement into which the EPA should enter
- Legally obligates federal funds

# Notice of Award

Read your award agreement carefully!!

- Grant identification number (“grant number”)
- Name of recipient organization
- Name of the Principle Investigator
- Project period and budget period start and end dates
- Amount of Federal funds authorized for obligation by the recipient
- Amount of matching or cost sharing (if applicable)

# Notice of Award

- Programmatic and financial reporting requirements
- Names of the cognizant awarding office: Project Officer, Grants Management Officer, and Grants Management Specialist
- Applicable terms and conditions of award, either by reference or inclusion
- Payment procedures



# Affirmation of Award

- Recipient signature not requested or required
- Recipient accepts terms of award by:
  1. drawing down funds within 21 days after the EPA award or amendment; or
  2. not filing a notice of disagreement with the award terms and conditions within 21 days after the EPA award mailing date.

# Managing Your Award

- Responsible for managing the day-to-day operations of grant-supported activities
- May use established controls and policies, as long as they are consistent with award requirements
- Completion of: Program Progress Reports, financial reports, audits/reports, and correspondence
- Identify potential problems and areas where technical assistance might be necessary
- Request changes requiring prior approval

# OMB Uniform Grants Guidance (Omni-Circular)

- Guidance supersedes and streamlines requirements from 40 CFR 30 and 31; OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidances); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up
  - Now located at 2 CFR 200, and available at: [www.ecfr.gov](http://www.ecfr.gov)
- EPA-specific regulations located at 2 CFR 1500

# Cost Principles

- Cost Principles apply to funding awarded before 12/26/2014
  - A-21 (no longer at 2 CFR 220) for Educational Institutions
  - A-87 (no longer at 2 CFR 225) for State, Local & Tribal Recipients
  - A-122 (no longer at 2 CFR 230) for Non-Profits
- Current Cost Principles located at 2 CFR 200 Subpart E
  - Apply to funding awarded on or after 12/26/2014
  - Read the Terms & Conditions of any award and/or amendment for specifics

# RAINs

## Recipient/Applicant Information Notice

- New guidance
- New resources
- Important changes and other information
- Check out the new [Policy Resource Page](#)!

# EPA Grants

[EPA Grants Home](#)
[Open Opportunities – Grants.gov](#)
[Grant Programs – beta.SAM.gov](#)
[Overview for Applicants and Recipients](#)
[How to Apply](#)
[Grant Forms](#)
[Competition](#)
[Training](#)
[Policy, Regulations and Guidance](#)
[Introduction](#)
[Uniform Grants Guidance \(UGG\)](#)
[Public Policy Requirements](#)
[EPA Policies and Guidance](#)
[EPA Grants Policy Resources](#)
[Terms & Conditions](#)
[Grant Closeouts](#)
[Suspension and Debarment](#)
[Regional Grants](#)

## EPA Grants Policy Resources

EPA grant policies may affect how recipients manage and administer EPA assistance agreements. Refer to the resources below for specific information that may be pertinent to your grants. Use the dropdown selections to filter the table or enter a keyword in the search box to find resources. Click on the column heading to sort the table. [Help: what is shown in the table \(column definitions\)?](#)

Show  entries

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Search: 

New ▼	Type ▲	Number ▲	Policy Resource	Applicability ▲▼
<input type="text" value="NEW"/>	<input type="text" value="RAIN"/>	<input type="text" value="RAIN-2018-G01-R"/>		<input type="text" value="General"/>
NEW	RAIN	RAIN-2018-G01-R	<a href="#">EPA Office of Grants and Debarment Guidance on Selected Items of Cost for Recipients</a> 4/13/2018 This Recipient/Applicant Information Notice (RAIN) informs recipients and applicants of new guidance on selected items of cost.	General
NEW	RAIN	RAIN-2018-G02	<a href="#">Indirect Cost Guidance for EPA Assistance Agreements</a> 10/1/2018 This Recipient/Applicant Information Notice (RAIN) informs recipients and applicants of new policy on indirect costs and EPA assistance agreements (grants and cooperative agreements).	General
NEW	RAIN	RAIN-2018-G03	<a href="#">Revision to EPA Financial Assistance Conflict of Interest Policy and EPA Subaward Policy</a> 8/22/2018 This Recipient/Applicant Information Notice (RAIN)	General

# New EPA Grants Update Listserv

Sign up today to receive timely notifications about:

- new guidance and information posted on this website
- new trainings and webinars available to potential applicants and recipients
- changes in grants management requirements
- other pertinent general grants information

**Subscribe here:**

<https://www.epa.gov/grants/forms/subscribe-epa-grants-update-listserv>

# Resources

- [Electronic Code of Federal Regulations \(eCFR\)](#)
- [beta.SAM.gov](#)
- [Recipient Training Opportunities](#)
- [EPA Grants Main Website](#)
- [EPA Grants Policy Resources](#)
- [EPA Grants Policy and Guidance Overview](#)
- [Specific EPA Grants Programs](#) (not an exhaustive list)
- [EPA Grants Update Listserv](#)



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# Questions?