

**Supporting Statement
Data Collection Form for Application for Federal Assistance
SF-424 Mandatory Form**

The SF-424 Mandatory form (Mandatory) is an OMB approved collection (4040-0002). We propose revising the form to add one additional data block that will collect the "Descriptive Title of Applicant's Project." The form instructions will also be revised.

Revision of this form to add an additional data block is necessary to comply with the requirements of the Federal Funding Accountability and Transparency Act (FFATA). FFATA was signed into law on September 26, 2006 (P.L. 109-282). The legislation requires the Office of Management and Budget (OMB) to establish a publicly available, online database containing information about entities that are awarded federal grants, loans, and contracts. The revised form will assist agencies in collecting the required data elements for the database through the SF-424 applications.

This form will be utilized by up to 26 Federal grant making agencies. The 4040-0002 collection expires on August 31, 2008 (July 1, 2005, Volume 70, Number 126, pages 38143-38145). We are requesting a 2-year clearance of this form.

The revisions for the new collection include the addition of one data collection block and revision of the instructions (Attachment A). The data filed labeled "County" will be revised to read "County/Parish." The instructions are being revised to incorporate the new descriptive title block and also revises the instructions for areas affected by funding and the congressional district. These changes to the instructions will increase data quality and clarity for the collection.

A. Justification

1. Need and Legal Basis

On an annual basis, the Federal government commits nearly twenty percent of the Federal budget, or approximately \$400 billion, to State and Local governments, Tribal organizations, education and research institutions, non-profit organizations, public housing authorities, commercial organizations, and individuals through the awarding of grants and cooperative agreements. There are 26 Federal grant-making agencies and organizations sponsoring and administering over 900 programs. More than half of these Federal agencies and grant-making organizations have discretionary programs authorized by legislation covering a broad range of subject matter. To obtain Federal grant and cooperative agreement awards, applicant organizations must apply to the Federal agency or organization responsible for administering the program.

The Federal Grant and Cooperative Agreement Act of 1977 (31 USC 6301-6308) gives agencies the authority to select the appropriate award instrument within the limits of their program legislation to support or stimulate recipient activity. Public Law (P.L.) 106-107, the Federal Financial Assistance Management Improvement Act of 1999, was enacted to improve the effectiveness and performance of Federal financial assistance programs, simplify and streamline Federal financial assistance application process and reporting requirements, and improve the delivery of services to the public. The issuance of the President's Management Agenda in 2002 called for "agencies to allow applicants for Federal grants to apply for, and ultimately manage, grant funds online

through a common web site, simplifying grants management and eliminating redundancies...”

In its memorandum to agencies, (<http://www.whitehouse.gov/omb/memoranda/fy04/m04-05.html>); OMB established Grants.gov as the Federal government’s single, online portal for any person, business, or State, Local and Tribal government to find and apply for Federal grants, regardless of type.

The Federal Funding Accountability and transparency Act (FFATA) was signed into law on September 26, 2006 (P.L. 109-282). The legislation requires the Office of Management and Budget (OMB) to establish a publicly available, online database containing information about entities that are awarded federal grants, loans, and contracts. The changes in the SF-424 (Mandatory) form will assist agencies in collecting the FFATA required data elements for the database through the SF-424 applications. Required data elements include the descriptive title of the awardees project . Changes to the form instructions will increase data quality and clarity for the collection.

2. Information Users

The Mandatory form is the common form used by Federal grant-making agencies for grant applications under mandatory grant programs. It replaced numerous agency-specific forms. The form reduces the administrative burden to the Federal grants community, which includes applicants/grantees and Federal staff involved in grants-related activities. This information collection, the Mandatory cover page, requests objective information that is formatted in a consistent manner using common definitions. Agencies can use that data to populate their systems and databases. Federal agencies will not be required to collect all of the information included on the proposed form. The agency will identify the sections that must be completed by applicants through instructions that will accompany the forms. Agencies will implement processes for reviewing the applications and awarding grant funds. These processes are reflected in agencies’ policies and procedures documents. Agencies will also maintain and store application forms and data in accordance with their policies and practices.

Federal agencies will identify the form as a required form in their grant application instructions and will incorporate the revised form into their processes for reviewing the applications and awarding grant funds. These processes are reflected in agencies’ policies and procedures documents. Agencies will also maintain and store application forms and data in accordance with their policies and practices. The public that will use the form includes: Federal, State, local, or tribal governments, business or other for profit, and not for profit institutions.

3. Improved Information Technology

The Grants.gov Apply mechanism (<http://www.grants.gov/Apply>), which was deployed in October 2003, allows applicants to electronically find and apply for Federal grants. In its January 7, 2004 memorandum, OMB directed Federal grant-making agencies to use the Grants.gov Apply mechanism (<http://www.whitehouse.gov/omb/memoranda/fy04/m04-05.html>). Information on the Mandatory form will be entered into fillable forms and submitted electronically through the Grants.gov portal. Applicants can complete application forms that they download from Grants.gov and submit them in accordance with agency policies and instructions. Agency policies and instructions include detailed submission guidance such as due dates, eligibility, information requirements, supporting documentation, etc.

Upon receipt of the application, Grants.gov will send an electronic acknowledgement to the applicant that the submission was received with the date and time of receipt. In addition, Grants.gov will deliver the application to the agency.

4. Duplication of Similar Information

Development of the Mandatory form and data set reduces duplication of similar or identical forms and data sets across Federal agencies. This information collection also implements streamlining and simplification provisions of PL 106-107 and provides support for the President's Management Agenda to allow applicants for Federal grants to apply for grant funds online. A cross-agency work group developed the proposed, revised Mandatory form and data set that will serve as a common application/plan cover page for mandatory grant programs.

SF-424 collections currently in use do not collect all of the FFATA required data elements from applicants. Revision of the Mandatory form reflects Grants.gov's mission to reduce duplication of similar or identical forms and data sets, establish consistency in data collection processes across Federal agencies, and comply with the requirements of FFATA. This information collection also implements streamlining and simplification provisions of PL 106-107 and provides support for the President's Management Agenda to allow applicants for Federal grants to apply for grant funds online. A cross-agency work group developed the proposed revisions to the SF-424 (Mandatory) form and data set that will serve as a common form for various grant programs.

5. Small Businesses

The Mandatory form is designed to collect the minimum amount of information necessary to comply with the FFATA requirements and is based on a previously OMB approved form. The only proposed revision to the data collection is the addition of a descriptive title and revision of instructions to provide further clarity to applicants.

6. Less Frequent Collection

The Mandatory form will provide information required by FFATA. Collection frequency will vary each period based on grant applications and proposals each institution submits. If the collection is not conducted or conducted less frequently, Federal grant-making agencies will not be able to collect all of the data elements required for FFATA compliance and make information about entities that receive Federal grants, loans, and contracts available through the publicly available, online database. Additionally, a significant PL 106-107 grants streamlining and simplification opportunity will be missed and progress towards fully achieving the President's Management Agenda to allow applicants for Federal grants to apply for grant funds online would be impeded if the Mandatory form was not used.

7. Special Circumstances

The proposed collection of information will be conducted in a manner that complies with relevant legislation authorizing Federal grants programs, OMB policies related to the administration of Federal grants including OMB Circulars A-102, A-110 (relocated to Relocated to 2 CFR 215), A-21 (relocated to 2 CFR 220), A-87 (relocated to 2 CFR 225), and A-122 (relocated to 2 CFR 230), and guidelines of 5 CFR 1320.5(d)(2).

8. Federal Register Notice/Outside Consultation

On February 28, 2005 the Grants.gov Program Management Office, one of the 26 E-Government initiatives, managed by HHS, published the proposed the SF-424

Mandatory collection for public comment in the *Federal Register* (February 28, 2005 Volume 70, Number 38, page 9656). Interested individuals were invited to send comments regarding any aspect of this collection of information. Public comments were incorporated. Notice of adoption of Government-wide SF-424 Mandatory collection was published in the *Federal Register* on July 1, 2005 (Volume 70, No 126, pages 38143-38145)

9. Payment/Gift to Respondents

Not applicable since there is no payment to respondents, other than remuneration of grantees.

10. Confidentiality

The grant-making agencies will maintain the authoritative copy of all application materials and data. Collection of information will be consistent with OMB policies related to the administration of Federal grants as well as agency policies and practices for access to electronic and paper records. If application forms are submitted through the Grants.gov Apply mechanism, Grants.gov will maintain only transmission records pertaining to the files. Grants.gov will not maintain application materials and data.

11. Sensitive Questions

Not applicable since there are no sensitive questions.

12. Burden Estimate

Section A. Estimated Annualized Burden Hours to Respondents

By aggregating agency’s estimates documented in their Paperwork Reduction Act Change Worksheets (OMB 83-C), an estimate of the total burden of the information collection was developed. All agencies with grant programs that award grants to organizations are eligible to use this form. Information gathered from the Department of Agriculture, Department of Education, Department of Labor, Department of Transportation and the National Endowment for the Arts generated an estimate of the total burden.

Collectively, these agencies receive 837 applications annually and estimate that it takes applicants 53 minutes on average to complete this form. Cumulatively, these organizations report the total burden to applicants to be 807 hours.

SF-424 (Mandatory) Form Estimated Annualized Burden to Respondents

Agency	Number of Annual Respondents	Number of Responses per Respondent	Total Annual Responses	Average Burden on Respondent per Response in Hours	Total Burden Hours
DOL	110	2.6	286	60/60	286
DOT	50	1.1	55	60/60	55
DOEd	114	1	114	60/60	114

NEA	65	1	65	32/60	35
USDA	317	1	317	60/60	317
TOTAL	656		837		807

The assignment of 53 minutes of burden per response was calculated as follows:
807 total hrs. x 60 minutes = 48,420 total minutes.
48,420 / 908 total responses = 53.32 minutes per response. 53.32 minutes was rounded to 53 minutes for use in the table.

Section B. Burden Cost

SF-424 (Mandatory) Form Estimated Annualized Cost to Respondents

Agency	Type of Respondent	Total Burden Hours	Hourly Wage Rate	Total Respondent Costs
DOL	Grant Writer	286	\$30	\$8,580
DOT	Grant Writer	55	\$30	\$1,650
DOEd	Grant Writer	114	\$30	\$3,420
NEA	Grant Writer	35	\$30	\$1,050
USDA	Grant Writer	317	\$30	\$9,510
TOTAL		807		\$24,210

13. Capital Costs

The proposed collection is based on revisions to an SF-424 (Mandatory) form currently in use. There is no projected incremental increase in the cost burden to respondents and record keepers associated with the use of the revised Mandatory form. The only revision to the Mandatory form will be the addition of the "Descriptive Title of Project" data field. It should be noted that many applicant organizations already have systems in place to respond to OMB's guidance to Federal grant-making agencies to use Grants.gov's Apply mechanism, which encourages the electronic submission of grants applications.

14. Cost to the Federal Government

The proposed collection is based on revisions to the Mandatory form currently in use. There is no projected incremental increase in the cost burden to the Federal Government with the implementation of the revised Mandatory form. The only addition to the Mandatory form currently in use is the Descriptive Title of Project. Each agency currently has existing personnel, systems and processes (or other resources) in place to receive and review their agency-specific grant applications. Any additional cost for agency system development, maintenance and enhancements should not be attributed to use of the revised Mandatory form, and therefore its use is not expected to alter annualized Federal costs.

Agency personnel time to review the form is estimated at 33.64 minutes per form. Based on 837 responses per year ($837 \times 33.64 \text{ minutes} = 28,156 \text{ minutes}$; $28,156 \text{ minutes} = 469 \text{ hours}$ estimated personnel time.

Grants administrative personnel generally are in the GS-7 through GS-13 range. Based on a step one average of these grades, an average hourly salary is \$27.36 per hour. ($27.36/60 \text{ minutes} = .456 \text{ per minute}$ and $.456 \times 33.64 \text{ minutes} = \15.34 per application.

Therefore, $837 \text{ annual applications} \times \$15.34 = \$12,839$ of estimated annual cost to the federal government to review the form.

15. Program or Burden Changes

The proposed collection is a revised collection. The burden hours on the proposed collection were based on agency estimates.

16. Publication and Tabulation Dates

There are no publication plans for collected data including summarizing or tabulating by Grants.gov. The federal agencies that use the form may use the data collected to provide information as required to OMB in accordance with the Federal Funding Accountability and Transparency Act.

17. Expiration Date

Not applicable since the OMB number will be included on the data collection form.

18. Certification Statement

Not applicable since there are no exceptions to the certification.

B. Collections of Information Employing Statistical Methods

No statistical methods are employed in this information collection.

Attachment A (see next page)

ATTACHMENT A - APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

Version 01.1

<p>1.a. Type of Submission:</p> <input type="checkbox"/> Application <input type="checkbox"/> Plan <input type="checkbox"/> Funding Request <input type="checkbox"/> Other Other (specify)	<p>* 1.b. Frequency:</p> <input type="checkbox"/> Annual <input type="checkbox"/> Quarterly <input type="checkbox"/> Other * Other (specify)	<p>* 1.d. Version:</p> <input type="checkbox"/> Initial <input type="checkbox"/> Resubmission <input type="checkbox"/> Revision <input type="checkbox"/> Update	
		* 2. Date Received:	STATE USE ONLY:
		3. Applicant Identifier:	5. Date Received by State:
		4a. Federal Entity Identifier:	6. State Application Identifier:
		4b. Federal Award Identifier:	
1.c. Consolidated Application/Plan/Funding	Request?		
Yes No Explanation			
7. APPLICANT INFORMATION:			
* a. Legal Name:			
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:	
d. Address:			
* Street1:		Street2:	
* City:		County / Parish:	
* State:		Province:	
* Country:		* Zip / Postal Code:	
e. Organizational Unit:			
Department Name:		Division Name:	
f. Name and contact information of person to be contacted on matters involving this submission:			
Prefix:	* First Name:	Middle Name:	
* Last Name:		Suffix:	
Title:			

Organizational Affiliation:	
* Telephone Number:	Fax Number:
* Email:	

Authorized for Local Reproduction

Standard Form 424 Mandatory

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY		Version 01.1
* 8a. TYPE OF APPLICANT:		
* Other (specify):		
b. Additional Description:		
* 9. Name of Federal Agency:		
10. Catalog of Federal Domestic Assistance Number:		
CFDA Title:		
11. Descriptive Title of Applicant's Project		
12. Areas Affected by Funding:		
13. CONGRESSIONAL DISTRICTS OF:		
* a. Applicant:	b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.		
Add Attachment		Delete Attachment View Attachment
14. FUNDING PERIOD:		
a. Start Date:	b. End Date:	
15. ESTIMATED FUNDING:		
* a. Federal (\$):	b. Match (\$):	
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?		

- a. This submission was made available to the State under the Executive Order 12372 Process for review on:
- b. Program is subject to E.O. 12372 but has not been selected by State for review.
- c. Program is not covered by E.O. 12372.

Authorized for Local Reproduction

Standard Form 424 Mandatory

* 17. Is The Applicant Delinquent On Any Federal Debt?

Yes No Explanation

18. 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

** This 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:

Organizational Affiliation:

* Telephone Number:

* Fax Number:

* [Email:](#)

* Signature of Authorized Representative:

* Date Signed:

Attach supporting documents as specified in agency instructions.

[Add Attachments](#) [Delete Attachments](#) [View Attachments](#)

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

Version 01.1

* Consolidated Application/Plan/Funding Request Explanation:

--	--

APPLICATION FOR FEDERAL ASSISTANCE SF-424 - MANDATORY

Version 01.1

* Applicant Federal Debt Delinquency Explanation:

--	--

**ATTACHMENT A
INSTRUCTIONS FOR SF 424-M**

Public reporting burden for this collection is estimated to average 1 hour 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 OMB), Paperwork Reduction Project (4040-0002), Washington, DC 20503. Please do not return your completed form to OMB.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of applications, plans, and related information under mandatory grant programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form. In addition to the instructions provided below, applicants must consult agency instructions to determine agency-specific requirements.

Item:	Entry:	Item:	Entry:	
1.	a. Select one Type of Submission in accordance with agency instructions.	9.	Enter name of Federal agency from which assistance is being requested.	
	b. Select applicable frequency for the Type of Submission in 1.a.	10.	Enter the <i>Catalog of Federal Domestic Assistance</i> (CFDA) number and title of the program under which assistance is requested. Use the continuation sheet to enter multiple CFDA numbers and titles.	
	c. Indicate if the submission is a consolidated application/plan/funding request.			
d. Select the applicable version for the Type of Submission in 1.a.:	11.	Enter a descriptive title of the project. For example, include in the description the primary purposes for which the funding shall be used; (e.g. community and economic development projects in the City of Chicago).		
	<ul style="list-style-type: none"> • Initial (first submission) • Resubmission (repeating the submission without change due to problems with the initial submission) • Revision (any change to a submission that has not yet been accepted or approved by the agency) • Update (any change to an accepted or approved submission). 	12.	List areas or entities affected using categories specified in agency instructions. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the Project/Performance Site Location form.	
2.	Federal use only.			
3.	Applicant use only.			
4.	a. Enter Federal entity identifier, if any, as specified in agency instructions. b. Enter Federal award identifier assigned by agency (if applicable).			
5.	State use only.	13.	a. Applicant – Enter the applicant’s congressional district. 13b. Program/Project – Enter all District(s) affected by the program or project. If all congressional districts are included for a State, use “all”, e.g., all congressional districts in Maryland would show as MD-all). This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the Project/Performance Site Location attachment. Attach an additional list of Program /Project Congressional Districts, if necessary, in the block provided.	
6.	State use only.			
7.	Enter the following: a. Legal name of applicant, b. Employer/Taxpayer Identification Number (EIN/TIN) as assigned by the Internal Revenue Service. c. Organization’s DUNS number (received from Dun and Bradstreet) or the DUNS+4 number (if available), d. Complete address of the applicant. (A nine-digit zip code / postal code is required if the country is US.) e. Name of primary organizational unit (and department / division, if applicable), which will undertake the assistance activity, f. For the person to contact on matters related to this submission: name, organizational affiliation (if affiliated with an organization other than the applicant organization), e-mail address, phone number, and fax number.			
8.	a. Select the appropriate letter and enter in the space provided. Letters O, P, Q, R, S, T, U, V, and W are not applicable.	J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) X. Other (specify in accordance with agency instructions)	15.	a. Federal – Enter the amount requested from the Federal agency. If the agency has specified an amount, enter that amount. b. Match – Enter the amount of funds from all other sources.
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled	b. Enter secondary description		
			16.	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. Check appropriate box. If “a.” is selected, insert date application was submitted to the State.
			17.	Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation.

	Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized)	of applicant type if required by the agency.	18.	To be signed by the authorized representative of the applicant organization. Enter the name, title, phone number, e-mail address, and fax number of authorized representative.
--	---	--	-----	--