Grants Made Easy

XPRIZE Carbon Removal Capital Needed

By Buddy Paul

As a XPRIZE constant Pollution Controls, Senoia, United States Registered Team, I will be applying for grants for our team. We may not receive a grant, but it is worth a try. You can help in our effort to clean the environment of more than just the carbon, proceeds from buying this book will go toward that worthy cause.

USA.gov is the U.S. Government's official web portal. Find information by topic for citizens, business and non-profit concerns, government employees, and visitors to the U.S.

As for as information on grants, application and step by step help explained here as Start and Here comes with the following citations:

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A Short Summary of federal Grants

What is a grant? A grant is a way the government funds your ideas and projects to provide public services and stimulate the economy. Grants support critical recovery initiatives, innovative research, and many other programs listed in the Catalog of federal Domestic Assistance (CFDA).

A grant is one of many different forms of federal financial assistance. federal financial assistance is a broad term to refer to the various ways the U.S. government redistributes resources to eligible recipients. On Grants.gov you will find grant and cooperative agreement opportunities from federal agencies that award grants.

The Grant Lifecycle

The grant process follows a linear lifecycle that includes creating the funding opportunity, applying, making award decisions, and successfully implementing the award. Check out the Grant Lifecycle page to find out what the applicant and the grant-making agency do in the lifecycle.

The specific actions along the lifecycle are grouped into three main phases. Each of the three phases has its own page that provides a more detailed look at the process:

Pre-Award Phase - Funding Opportunities and Application Review

Award Phase - Award Decisions and Notifications

Post Award - Implementation, Reporting, and Closeout

What Is Blog Series

Confused about the different types of federal grants? Check out the "What Is a Grant?" series on the Grants.gov Community Blog Click to View Exit Disclaimer.

Grant Lifecycle Timeline

Grants.gov brings together federal awarding agencies and applicants, helping to streamline the grant process. Read below to learn more about the roles of Grantors and Applicants in the federal grant lifecycle.

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Award Phase - Award Decisions and Notifications

Post Award - Implementation, Reporting, and Closeout

Pre-Award Phase

Grantor Actions Lifecycle Steps   Applicant Actions

In the early stages of the grant process, the grant-making agency plans and develops a funding program based on its mission, the Administration, and congressional initiatives.

Planning an Opportunity

Next, the grant-making agency formally announces the funding opportunity, advertising it to applicant communities and inviting proposals tailored to address the program mission. The grant-making agency will publish details of the funding opportunity on Grants.gov.

Announcing an Opportunity

Searching for Opportunities

Potential applicants will use the Grants.gov search tool to find funding opportunities that they are eligible for and are a mission match for their organization.

Registering on Grants.gov

When potential applicants have identified an opportunity to apply for, they need to register with Grants.gov. Applicants should also check the funding opportunity for additional registration requirements specified by the grant-making agency.

Completing an application

Completing a grant application can take weeks. The application package can be downloaded from Grants.gov in the form of a PDF, and progress can be saved as form fields are filled in. These fields require everything from basic organizational information to explanations of proposed work and financial data. When an application package has been completed per the

opportunity instructions and checked for errors, it can be submitted through Grants.gov.

When an application has been submitted, the application is retrieved by the grant-making agency and screened for compliance. If it passes initial screening, the application is routed to the appropriate agency program for consideration.

Retrieving the Application

Once an application has been retrieved by the agency from Grants.gov, the applicant is automatically notified via email. At this point, the grantor application processing begins.

Staying in the Loop

Applicants can track the status of their application by communicating with the grant-making agency. The application status process is handled differently by each agency.

As the funding agency reviews applications, a range of program stakeholders will participate. The review process takes time and varies based on grant type. As the review process takes place, grant-making agencies may update applicants on the status of their application.   Finishing the

Review Process

Award Phase

Grantor Actions Lifecycle Steps   Applicant Actions

When the review process has been completed, the funding agency notifies the applicants whether they have been awarded a grant or not. The agency also begins working with the award recipient to finalize the legal framework for the funding agreement. Following this, the funds are disbursed.

Notifying the Award Recipient

Beginning the Hard Work

After an applicant receives a Notice of Award and the funds have been disbursed, they will begin their project. The award recipient is responsible for meeting the administrative, financial, and programmatic reporting requirements of the award.

Post Award Phase

Grantor Actions   Lifecycle Steps   Applicant Actions

After an award has been disbursed, a grants management officer at the funding agency oversees an awardee's reporting compliance. This process extends across the life of the grant award and involves reviewing reports submitted by the awardees. Representatives from the grantor agency may perform on-site visits with the project director and implementation staff. Oversight may also occur in the form of auditing.

Providing Support and Oversight

Reporting Your Progress

Award recipients conduct two primary types of reporting to the funding agency on a regular basis: financial reporting and programmatic reporting. These reports provide information about the overall financial status and program performance of the grant project. Recipients must also respond to any audit requests that pertain to the grant.

As reports and financial data are passed along to the grantor agency, the program stakeholders ensure that all requirements are being met. Upon completing all the closeout requirements, including a review of the final financial and technical reports from the awardee, the grant lifecycle comes to an end.

Award Closeout

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Pre-Award Phase

The pre-award phase represents the beginning of the grant lifecycle, which includes announcing opportunities, submitting applications, and reviewing applications. Below are explanations of what generally occurs during the pre-award phase.

Funding Opportunity Announcement

Application Review Process

Funding Opportunity Announcement

Both the grant-making agencies and prospective applicants conduct their planning processes. The awarding agencies prepare and publish Funding Opportunity Announcements (FOA) based on the related legislation and their budget.

An FOA includes all the pertinent information and requirements for an applicant to assess their eligibility, competency, and interest in the funding opportunity. How do you find these opportunities? That is where Grants.gov comes in.

You, a prospective applicant, can use the Search Grants function to navigate through opportunities and settle on the right FOA for you. Once you select on a funding opportunity to apply for, there are two high-level steps, in addition to your own

application development processes, to work on before submitting your application in Grants.gov:

Register to apply for grants.

Complete your application.

Registering to Apply

Registering to apply for grants on Grants.gov includes several steps and types of registration, including DUNS, SAM.gov, and Grants.gov accounts. We have pages dedicated to walking you through the Applicant Registration processes under the Applicants tab. It is not a highly complex process, but it can take 1 to 3 weeks to complete, so please register as early as you can. Do not allow yourself to miss the application deadline because you waited until the last week to try to register.

Completing Your Application

Before jumping into the process of filling out the application, you (i.e., an organization or individual) should spend time analyzing your own capabilities as compared to the specific eligibility and technical requirements detailed in the application instructions. The application planning process is lengthy, but it is critical when considering the importance of carrying out government-related work and the competition you may face for funding. While the specific steps vary widely depending on the type of grant you are applying for, major components of the planning process include developing your ideas, conducting research, writing your proposal, and completing the application in Grants.gov.

If you are interested in more specific information or training on the development of an effective proposal, there are several options out there. First, we recommend perusing the awarding agencies website. Often, the awarding agency provides specific information on pre-award processes pertaining to their types of funding opportunities. Next, we also recommend looking at the Grants.gov Community Blog for additional information and upcoming grant events from across the grants world.

Application Review Process

Once the application submission deadline passes, the awarding agencies get to work reviewing the applications. The specific process for reviewing an application varies based on the type of grant you applied for. The generally applicable steps are as follows:

Initial screening to ensure application is complete.

Programmatic review and assessment of the substance of the applications

Financial review of proposed budgets

Award decision and announcement

Initial Screening of Application

In the initial screening, sometimes called basic minimum requirements review, the agencies will check each proposal to ensure it includes all the required elements to qualify for the grant. What the specific requirements are will vary for each grant, but common elements are eligibility, program narrative, and budget attachment. The key for the initial screening is that the agencies are looking for the presence of the required element, not the quality of the element. If your application does not meet

all these basic requirements, then your application is likely to be rejected.

Programmatic Review and Assessment of Applications

The remaining applications undergo a thorough review and assessment for their technical and programmatic quality and competency. Again, this varies depending on the type of grant you applied for. For discretionary grants, the review is conducted by independent experts who assess the applications using the uniform rating or scoring system established by each awarding agency.

A common format is a peer review panel of at least three people, who assess and score each application independently. Then, the peer review panel will convene to discuss the merits of the applications. A series of policies and assurances are in place to maintain a fair, objective process based on material facts in the applications and without conflicts of interest (COI) for the peer reviewers. The federal agency staff monitor and participate in this review process.

Financial Review

While an application may have technical and programmatic quality, your budget also needs to be well-documented and reflect the requirements of the grant program. The federal agencies conduct a cost analysis, reviewing each line item and the overall proposed budget to ensure compliance with statutory and financial regulations. Additionally, the financial review also factors in the total budget for the grant program in relation to how much money each application requests.

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Award Phase

Once the federal agency completes the application review process, the Award Phase begins. The final award decisions rest solely in the hands of the federal agency staff with fiduciary responsibility and legal authority to enter binding agreements. federal staff review and make award recommendations based on the programmatic and financial reviews of the applications. These recommendations are reviewed by a series of levels in the agencies to ensure high-quality, fair, and unbiased decisions.

Notice of Award

Once the final award decisions are made, the awarding agency sends a Notice of Award (NOA) to the entities selected for funding. The NOA is the official, legally binding issuance of the award. When you or your organization accepts the grant (i.e., by signing the grant agreement or by drawing down funds) you become legally obligated to carry out the full terms and conditions of the grant.

As an award recipient, you are also subject to federal statutory and regulatory requirements and policies. Not sure what some of these policies are? Check out the Grant Policies section.

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Post Award Phase

The post award phase comprises a significant amount of work over the duration of the award dates, which includes implementing the grant, reporting progress, and completing the closeout requirements. The federal agency that makes the award

to you is also there to assist and ensure you or your organization complies with the grant terms and conditions. Your job is to carry out the grant program faithfully and diligently.

Reporting

The agency monitors your progress and expenditures through various programmatic and financial reporting procedures, as well as using performance metrics per the grant agreement. While most award recipients carry out the grants ethically and efficiently, these monitoring procedures are necessary to maintain transparency and to prevent fraud and abuse.

The awarding agency typically has a grants management officer and program officer designated to each grant, both of which you will work with throughout the life of the grant. They are the ones who will review reports and conduct site visits, so we recommend you build an effective line of communication with these staff members. It is better to prevent issues by talking to your grant and program officers to clarify grant terms or expectations than it is to submit a report and wait for problems to be identified and recourse initiated.

The specific reporting requirements, schedules, and systems can vary for each grant, so please review the grant terms and conditions carefully for this information. Check out the Grant Systems section to learn more about the systems you may have to use and where to find more information about them.

Auditing

federal grant-making agencies and grant recipients are audited. The Government Accountability Office (GAO), Office of Inspector General (OIG), and various departments within each federal agency monitor and analyze policies, expenditures, and more activities within each grant-making agency. These same

entities, as well as others, also monitor and analyze the performance of grant recipients.

Single Audits

The federal awarding agency ensures non-federal entities have a single audit conducted and submit a single audit reporting package to the federal Audit Clearinghouse (FAC) in a timely manner. The federal awarding agency also performs follow-up on audit findings to ensure the non-federal entity takes appropriate and timely corrective action. As part of this process, the federal awarding agency issues a management decision, within six months of FAC acceptance of the audit report, for audit findings that relate to federal awards it makes to non-federal entities.

A non-federal entity that expends $750,000 or more in federal awards during its fiscal year may be required to have a single audit conducted for that year. This audit is in lieu of any financial audit of federal awards, which a non-federal entity is required to undergo under any other federal statute or regulation. After completion of the audit, the non-federal entity submits the audit reporting package to the FAC within nine months after the end of the audit period. The non-federal entity also performs follow-up and corrective action on all audit findings.

Closeout

The closeout step is where the grant process ends. To complete a closeout, you, the award recipient, must submit the final financial and programmatic reports. According to the OMB Uniform Grants Guidance §200.343, the receipt must submit all financial, performance, and other reports required under the grant within 90 days after the grant award expires or is terminated. The awarding agency will review these reports to ensure compliance will all the grant terms and conditions as well as to make sure you spent all the funds appropriately.

How do I know when a grant is officially over? The federal awarding agency must confirm that the recipient has completed all the required grant work and all the applicable administrative tasks. Until the awarding agency confirms this, you are still responsible for fulfilling all the terms of the grant. The closeout process can take several months if there are financial concerns or questions to reconcile. Also, if you or your organization acquired any property using grant funding, the closeout step is when you must make sure to handle this property exactly as the grant stipulates, which includes completing the appropriate reports on this property. Lastly, you are typically required to retain your grant records for at least three years from the date of the final expenditure report.

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Getting Started Checklist

The grant process encompasses a lot of steps that are completed by different groups. Below is a checklist of the main steps in this process with links to more detailed information on each one.

□ Familiarize yourself with the overall Grants Lifecycle

□ Determine your eligibility for funding opportunities on Grants.gov

□ Identify the right types of funding opportunities for you

□ Learn about the reporting requirements you will need to comply with if awarded funding

□ Search for the specific grant you will apply for

□ Confirm that you are eligible to apply for that grant

□ Register with Grants.gov

□ Apply for the grant

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A Short History of federal Grant Policy

Billions of dollars in federal grants are awarded each year for programs and projects that benefit the public. This assistance is rooted in the Constitution and its call to "promote the general Welfare."

It was not until the 1970's, however, that federal grant policy began to evolve into what it is today. In the 70's, Congressional lawmakers responded to reports that federal agencies were using assistance awards, or grants, to pay for services. In doing so, they could side-step competition and procurement rules normally associated with government contracting.

The federal Grant and Cooperative Agreement Act, passed in 1977, set out to guide government agencies in their use of federal funds – particularly by defining the roles of contracts, cooperative agreements, and grants. Contracts, the law states, should be awarded when a federal agency is acquiring something – an improved computer network, for example. Grants and cooperative agreements, meanwhile, should be awarded when a federal agency is helping, such as funding for a lower-income housing program in an at-risk urban community.

To help with the implementation of the law, the Office of Management and Budget (OMB) published guidance in 1978 directing agencies to ensure that grants funds be used only for assistance-based programs and projects.

Policy Formation

Since the 1970's, subsequent grant-related legislation has helped to further develop federal grant policy. It works much like it did in 1977 and 1978: Congress creates the grant-related laws and regulations.

The Executive Office of the President – of which OMB is part – helps to implement the laws through Executive Orders and Guidance that define administrative rules.

Finally, the grant-making agencies create internal and external policies and procedures based on the OMB guidance. (See chart.) These agency-specific policies for award recipients do not carry the weight of law, though they may be required of award recipients if they are listed in the Notice of Award.

How Grant Policies Are Made

When a new law is added to the books, that is only the beginning.

Legal Hierarchy Key Roles   Example

STAGE 1

Statutes Regulations   Congress appropriates funds to federal agencies and passes other grant-related legislation
2014: Congress passes DATA Act, which directs that all federal award data be accessible to the public on a single website.

STAGE 2

Executive Orders Memoranda Circulars Executive Office of the President issues guidance for implementing the legislation
2015: Executive Office of the President creates task force and launches pilot program to determine how DATA Act will be implemented.

STAGE 3

Administrative Policies & Procedures   Grant-making agencies develop administrative policies based on guidance

2017: Agencies adjust their internal and external policies to the final guidance issued by the Executive Office of the President

Key Legislation

Other legislation has addressed everything from lobbying efforts to auditing requirements, to reporting procedures, to transparency and cross-agency data-sharing.

The OMB – along with other bodies – has continued to play an important role in interpreting and implementing the laws among the federal government's awarding agencies. Today's current grant policies have been largely shaped by a range of statutes, regulations, Executive Orders, and guidance.

To learn more about current grant policies, click below for summaries of the laws and their intended impact, beginning with the most recent:

Office of Management and Budget Uniform Guidance (2014)

DATA Act (2014)

Executive Order 13576 (2011)

American Recovery and Reinvestment Act (2009)

federal Funding Accountability and Transparency Act (2006)

Public Law 106-107 (1999)

Single Audit Act Amendments of 1996

Lobbying Disclosure Act (1995)

federal Grant and Cooperative Agreement Act (1977)

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Who's Who in the federal Grant Policy-Making Community.

The federal policies that determine your application workflow – from eligibility and applying to winning an award and reporting on your program outcomes – did not just materialize in a book full of rules and regulations.

Below, you will find a table breaking down every main body involved in the federal grant policy-making process – who they are, what they do and what role they play in contributing to grant policy.

federal Bodies Involved in Grant Policy Formation

Body	Description	Activities	Role in Grant Community
Congress	Senate and House of Representatives	Passes statutes and regulations that are signed into law by the President	Lays the foundation for federal grant policy through legislation.
		Appropriates funds to federal agencies.	
The White House (President of United States of America)	Executive Office of the President	Ensures that laws are implemented and enforced.	
		President serves as head-of-state and commander-in-chief.	
		President signs or vetoes legislation from Congress Appoints heads of federal agencies that award grants to applicants Issues Executive Orders relevant to grant policy	formation and legislation.

Office of Management and Budget (OMB)

Largest component of the Executive Office of the President   Manages the budget development and execution of federal government departments and agencies.

Guides their implementation of laws and regulations Issue's circulars with guidance for grant-making agencies, such as the "Uniform Guidance" that was implemented in 2014.

Receives recommendations from the Council on Financial Assistance Reform (COFAR)

Grant-making federal departments and agencies
Bodies that serve and protect the public and receive funding from Congress Run programs that serve the public.

Assist Congress in the drafting of regulations.   Award grants with funds from congressional appropriations under the direction of the agency head Create agency-specific, grant-related policies (internal and external) based on guidance from OMB.

Government Accountability Office (GAO) Investigative organization that reports to Congress Audits and generates reports on work done across the federal government.

Ensures that taxpayer dollars are being spent effectively and efficiently Publishes occasional reports on federal grant policy.

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Key Memoranda on Grant Policy from the Office of Management and Budget

The following Office of Management and Budget (OMB) memoranda offer a window into how grant policy is implemented through the Executive Office of the President:

M-18-24 Strategies to Reduce Grant Recipient Reporting Burden (2018)

OMB Memorandum M-18-24 provides guidance to federal agencies to implement lessons learned from the Digital Accountability and Transparency Act (DATA Act) of 2014. Some highlights include:

Integrating New Data Standards - By September 30, 2018, "government-wide core grants management data standards are expected to be finalized by the Grants Management federal Integrated Business Framework (FIBF)." By April 30, 2019, "agencies must submit a plan to OMB that describes their strategy for integrating the new data standards into current and/or future grant systems."

SF-424B Form Phase-Out - Effective January 1, 2019, "the SF-424B will become optional and agencies shall make plans to phase out use in Funding Opportunity Announcements."

Centralized Certifications and Representations using System for Award Management (SAM) - Effective January 1, 2020, SAM.gov "will become the central repository for common government-wide certifications and representations required of federal grants recipients. ... federal agencies will use SAM information to comply with award requirements and avoid increased burden and costs of separate requests for such information."

Sharing of Systems and Services - Agencies are to "work with other agencies and OMB to reduce the number of existing legacy systems and grants recipient burden via sharing quality services and systems."

Read more »

M-18-18 Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance (2018)

OMB Memorandum M-18-18 announced, in accordance with recent statutory changes set forth in the National Defense Authorization Acts (NDAA) for Fiscal Years 2017 and 2018, an increase in the threshold for micro-purchases under federal financial assistance awards to $10,000, and increases the threshold for simplified acquisitions to $250,000 for all recipients. federal awarding "agencies are required to implement these changes in the terms and conditions of their awards, and recipients of existing federal financial assistance awards may implement them in their internal controls."

Read more »

M-17-26 Reducing Burden for federal Agencies by Rescinding and Modifying OMB Memorandum (2017)

OMB Memorandum M-17-26 identified and eliminated a variety of federal regulations to reduce burdens on federal agencies. This included removing three grants management related requirements, including the dissolution of Council on Financial Assistance Reform (COFAR). The U.S. Chief Financial Officers Council (CFOC) will now consider financial assistance priorities. Below is the grants management section of M-17-26:

"Grants Management Related Requirements - M-14-17, M-12-01, and OMB's Controller Alert of December 2016: To help reduce the burden for grants management related requirements, agencies are no longer required to: 1) report the metrics measuring the impact of the Uniform Guidance (2 C.F.R. Part 200),

as instructed by OMB Memorandum M-14-17, and 2) prepare for an expanded Catalog of federal Domestic Assistance numbering schematic, as informed by OMB's Controller Alert of December 2016. In addition, the Council on Financial Assistance Reform (COFAR), an interagency group of Executive Branch 4Eliminated – Financial Management (Cont.): officials that was established by OMB Memorandum M-2-01, is disbanded. Moving forward, financial assistance priorities will be considered by the Chief Financial Officers (CFO) Council, consistent with the goal of involving a broader community of grant-making agencies to participate in developing priorities for reforming federal grants management."

Read more »

M-14-17 Metrics for Uniform Guidance (2 C.F.R. 200) (2014)

The OMB summarizes the major reforms in the Super-Circular known as "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards" – or simply as "Uniform Guidance" – and outlines metrics that will help the government gauge their effectiveness.

Read more »

M-10-16 Grants.gov – Return to Normal Operations (2010)

The OMB instructs federal grant-making agencies that began using alternative methods to collect applications during the peak Recovery Act period to resume their normal use of Grants.gov's Find and Apply functions.

Read more »

M-09-17 Improving Grants.gov (2009)

The OMB asks federal grant-making agencies to help cover the costs required to improve Grants.gov amid the Recovery Act implementation. Thousands of additional applications for assistance are coming through the Grants.gov system and improvements are needed to "establish a foundation for a more efficient, flexible, and reliable system in the future."

Read more »

M-09-14 Recovery Act Implementation – Improving Grants.gov and Other Critical Systems (2009)

The OMB instructs the Department of Health and Human Services and the General Services Administration to develop a plan to improve Grants.gov in light of the expected influx of applications as a part of the Recovery Act. Grant-making agencies are asked to make preparations to accept grant applications via temporary, alternative methods in case Grants.gov goes down during critical periods.

Read more »

M-08-19 Authority to Collect DUNS Number to Meet Requirements of the federal Funding Accountability and Transparency Act of 2006 (2008)

The OMB instructs agencies to collect Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) numbers in applications for all types of financial assistance subject to the federal Funding Accountability and Transparency Act of 2006 ("Transparency Act," P.L.109-282). Prior to this, the OMB had

previously only required agencies to collect DUNS numbers for grants and cooperative agreements.

Read more »

M-04-05 Clarification of Passback Language to Grant-Making Agencies (2004)

The OMB clarifies its directive to federal grant-making agencies, explaining that they should designate funds to cover the cost of migrating existing grant management systems to Grants.gov. The new website is a platform through which agencies are to announce their funding opportunities and collect grant applications.

Read more »

M-04-01 OMB Issues Grants.gov FIND Policy (2003)

The OMB directs all federal grant-making agencies to publish funding opportunity announcements – called "synopses" – on Grants.gov. These announcements allow the public to identify funding opportunities for which they can apply. Grants.gov is part of the extended implementation of the federal Financial Assistance Management Improvement Act of 1999 (Public Law 106-107).

October 15, 2003

M-04-01 MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Linda M. Springer

SUBJECT:

OMB Issues Grants.gov FIND Policy

The purposes of this memorandum are to announce the issuance of a new grants management policy on the requirement to post funding opportunity announcement synopses at Grants.gov and to provide the policy and its related data elements. This final policy notice, published in the federal Register on October 8, 2003 [68 FR 58146], is available on OMB's website at www.whitehouse.gov/omb/grants/grants_docs.html.

1. Purpose. This policy directive establishes a government-wide requirement for federal agencies to electronically post synopses of announcements of funding opportunities under financial assistance programs that award discretionary grants and cooperative agreements, using a standard set of data elements. The purpose of the synopsis is to provide potential applicants (1) enough information about the funding opportunity to decide whether they are interested in viewing the full announcement; (2) one or more ways (e.g., an Internet site, e-mail address or telephone number) to get the full announcement with the detailed information; and (3) one common website to search for all federal grant opportunities by key word, date, Catalog of federal Domestic Assistance (CFDA) number, specific agency or across agencies. The attached data elements are the government-wide standard developed for federal programs that award discretionary grants and cooperative agreements.

2. Authority. The policy directive is part of the implementation of the federal Financial Assistance Management Improvement Act of 1999 (Public Law 106-107). This policy is also designed to further implement the Grants.gov initiative, one of the 24 electronic government (E-Gov) initiatives under the President's Management Agenda.

3. Background. Public Law 106-107 requires the Office of Management and Budget (OMB) to direct, coordinate, and assist Executive Branch departments and agencies in establishing an interagency process to streamline and simplify federal financial assistance procedures for non-federal entities. The law also requires executive agencies to allow applicants to electronically apply for and report on the use of funds from any federal financial assistance program administered by the agency.

The posting of standard synopses in an electronic environment provides government customers the opportunity to locate funding opportunities in one place and to decide whether to apply for the opportunity or not. Establishing data standards for the electronic format of the synopses and the posting of synopses on the Internet serve to implement Public Law 106-107 and the President's Management Agenda.

4. Policy. The data elements/format attached to this policy directive are the government-wide standard for posting synopses at http://www.Grants.gov or such website/Internet address that may be identified by OMB, for programs that award discretionary grants and cooperative agreements. Agencies should continue to post their full announcement at location(s) consistent with any applicable statutory requirements and policy. All federal agencies are required to post synopses of announcements of funding opportunities for programs that award discretionary grants and cooperative agreements at the Grants.gov FIND module and are also encouraged to post other types of federal funding opportunities at Grants.gov FIND. The synopsis shall be posted with universal resource locator (URL) links through which the full announcement can be obtained. A URL link from the synopsis to the full announcement is not necessary for full announcements posted to Grants.gov because the synopsis and full announcement share the same URL.

However, in this event the synopsis must indicate that the full announcement can be found at Grants.gov FIND.

Applicability. All federal agencies will be required to post synopses of their discretionary grant and cooperative agreement funding opportunity announcements and modifications to the announcements at Grants.gov or a website/Internet address identified by OMB, using the standard data elements/format, except for:

Programs that only publish funding opportunities in the Catalog of federal Domestic Assistance (CFDA).

Announcements of funding opportunities for awards less than $25,000 for which 100 percent of eligible applicants live outside of the United States.

Single source announcements of funding opportunities issued by an agency which are specifically directed to a known recipient.

Effective Date. This policy directive is effective on November 7, 2003, thirty days from date of publication in the federal Register [68 FR 58146]. All agencies shall post announcement synopses at the Grants.gov FIND module beginning November 7, 2003. A synopsis of the federal funding opportunity shall be posted at Grants.gov FIND no later than three business days after release of the full announcement.

Exemptions. Requests for exemptions must be directed to OMB, Office of federal Financial Management (OFFM).

5. Agency Responsibilities.

Issue any needed direction to offices that award discretionary grants and cooperative agreements on the requirement to post a synopsis at the Grants.gov FIND module, including the standard data elements/format. Synopses must

follow the format to ensure all required data elements are included.

Ensure the synopsis posted at the Grants.gov FIND Module will have full instructions regarding where to obtain the full announcement for the funding opportunity. To further satisfy statutory, regulatory, or the agency's policy requirements, some agencies may need to announce the funding opportunity in the federal Register.

Obtain a Catalog of Domestic Assistance (CFDA) number for all programs that post a synopsis at Grants.gov. For those programs that do not have an assigned CFDA number, the program office or agency must contact the Grants.gov Program Management Office to obtain an alternate identifier to be used in the synopsis posted at the Grants.gov FIND module.

6. Information Contact. Direct any requests for exemption or questions about the policy to the Office of federal Financial Management (OFFM), 202-395-3993. Linda M. Springer Controller

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Grants Oversight and New Efficiency Act

The goal of the Grants Oversight and New Efficiency (GONE) Act is to close out expired grants. The GONE Act requires the Office of Management and Budget (OMB) to instruct each agency, in coordination with the Department of Health and Human Services (HHS), to submit to Congress and HHS by December 31 of the first calendar year beginning after this Act's enactment a report that:

Lists each federal grant award held by such agency.

Provides the total number of federal grant awards, including the number of grants by time of expiration, the number with zero-dollar balances, and the number with undisbursed balances.

Describes the challenges leading to delays in grant closeout.

Explains, for the 30 oldest federal grant awards, why each has not been closed out.

The covered grants are those within an agency's cash payment management system that have been expired for two or more years and have not been closed out. No later than one year after the head of an agency submits its report, the agency head will notify HHS whether the agency has closed out the covered grants discussed in its report. HHS is required to compile this information and provide it to Congress.

Additional Information

Read the full text of the GONE Act.

Read the January 28, 2016, White House signing statement.

Read the House Report 114-264 from the U.S. Government Publishing Office.

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Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards

The Office of Management and Budget's (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards (commonly called "Uniform

Guidance") was officially implemented in December 2014 by the Council on Financial Assistance Reform (COFAR - now dissolved). The Uniform Guidance – a "government-wide framework for grants management" – is an authoritative set of rules and requirements for federal awards that synthesizes and supersedes guidance from earlier OMB circulars. *

The reforms that comprise the Uniform Guidance aim to reduce the administrative burden on award recipients and, at the same time, guard against the risk of waste and misuse of federal funds. Among other things, the OMB's Uniform Guidance does the following:

Removes previous guidance that is conflicting and establishes standard language; Directs the focus of audits on areas that have been identified as at risk for waste, fraud and abuse; Lays the groundwork for federal agencies to standardize the processing of data; Clarifies and updates cost reporting guidelines for award recipients.

*The Guidance was drawn from OMB Circulars A–21, A–87, A–110, and A–122 (which have been placed in past OMB guidance's); Circulars A–89, A–102, and A–133; and the guidance in Circular A–50 on Single Audit Act follow-up.

Additional Information

Read the full text of the OMB Uniform Guidance

Read the Updated OMB Uniform Guidance FAQs

Read a December 2014 blog post by The White House, which highlights key policy reforms in the OMB's Uniform Guidance.

Read the April 2017 OMB Guidance Compliance Supplement, which identifies important compliance requirements for auditors.

Read the May 2018 OMB Guidance Compliance Supplement, which modifies sections of the 2017 Supplement that needed significant revision. Auditors must use the 2018 Supplement and the 2017 Supplement together.

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Digital Accountability and Transparency Act of 2014 (DATA Act)

The Digital Accountability and Transparency Act of 2014, also called the DATA Act, expands on federal awards reporting reforms that began with the federal Funding Accountability and Transparency Act of 2006.

Purpose

The purpose of the DATA Act is to improve the quality and transparency of the federal Government's award data. Lawmakers have directed the Department of the Treasury (Treasury) and the Office of Management and Budget (OMB) to create government-wide standards for reporting spending data associated with federal awards. The law also requires that this data be channeled to a central, public database so that it can be easily accessed and tracked throughout an award's full lifespan – from a vote in Congress to its final disbursement.

The DATA Act was implemented in stages, beginning with the guidance issued by OMB in 2015. With the completion of the pilot program in 2017, agencies and award recipients are required to adhere to the new data sharing standards.

Resources

Full text of the DATA Act

OMB Memo: Additional Guidance for DATA Act Implementation: Implementing a Data-Centric Approach for Reporting federal Spending Information.

Presentation slides from the April 1, 2015, webinar.

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Executive Order: Delivering an Efficient, Effective and Accountable Government (2011)

After the introduction of spending transparency measures in the American Recovery and Reinvestment Act of 2009, President Obama issued an executive order outlining the creation of the Government Accountability and Transparency Board (GATB) in 2011.

This board was directed to work with the Recovery Accountability and Transparency Board, formed in 2009, and provide "strategic direction for enhancing the transparency of federal spending," including the awarding and use of federal grants. GATB's responsibilities include studying data sharing tools and creating a set of best practices that can guide the federal government in its spending transparency reforms. The work of GATB helped to inform the creation of the 2014 DATA Act.

Read the President's Executive Order establishing the GATB (PDF version).

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American Recovery and Reinvestment Act (2009)

The American Recovery and Reinvestment Act of 2009 (sometimes called the "Recovery Act" or the "stimulus") established a framework for reporting on the use of funding that was awarded as part of the federal stimulus package.

The law directed the creation of Recovery.gov, which gave the public a means to track the spending of federal stimulus funding. Another website, federalReporting.gov, was set up so that federal award recipients could submit spending reports. The Recovery Act also formed the Recovery Accountability and Transparency Board, which set out to monitor the use and reporting of federal stimulus funds and awards.

Read the full text of the Recovery Act (PDF version)

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federal Funding Accountability and Transparency Act (2006)

The federal Funding Accountability and Transparency Act (FFATA), signed into law in 2006, required information about federal awards to be posted on a single, searchable website that is open for public access.

The website, USAspending.gov, initially contained federal award data published by the Office of Management and Budget (OMB). Under the OMB's guidance in 2010, recipients of federal awards were required to begin reporting data using the FFATA Subaward Reporting System (FSRS) tool.

Find out more about the FFATA Subaward Reporting System (FSRS).

Read the federal Funding Accountability and Transparency Act (FFATA).

Read the federal Funding Accountability and Transparency Act (FFATA)'s 2008 amendment.

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Public Law 106-107 (1999)

The federal Financial Assistance Management Improvement Act of 1999, sometimes called "P.L. 106-107", was passed by Congress to improve coordination among grant-making agencies. Lawmakers also wanted to make the application and reporting process more consistent for people and organizations seeking federal awards.

The Grants Policy Committee (GPC), composed of federal grants experts, was formed, and tasked with carrying out the law. Although P.L. 106-107 expired in 2007, some of its initiatives are still in place. Others have continued to evolve. For example, in 2011, the Office of Management and Budget (OMB) replaced the GPC and the Grants Executive Board (GEB), established in 2002, with a single entity – the Council on Financial Assistance Reform (COFAR).

COFAR built on these the initiatives first outlined in The federal Financial Assistance Management Improvement Act of 1999. In 2017, COFAR was dissolved by OMB Memorandum M-17-26, Reducing Burden for federal Agencies by Rescinding and Modifying OMB Memorandum.

Read the federal Financial Assistance Management Improvement Act of 1999.

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Single Audit Act Amendments of 1996

Building on the Single Audit Act of 1984, the 1996 amendments laid out updated audit requirements for organizations and people who receive federal awards.

The law aimed to streamline the auditing process so that award recipients only must conduct a single, annual audit instead of conducting multiple audits of individual programs.

Read the full text of the Single Audit Act Amendments of 1996.

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Lobbying Disclosure Act (1995)

The Lobbying Disclosure Act created, among other things, a comprehensive reporting and disclosure structure for lobbyists.

While entities that receive federal awards, such as nonprofit organizations, may lobby the federal government, all federal lobbying efforts must be paid for with non-federal funds. The law also limits, in some cases, the amount or percentage of money an organization can spend on lobbying.

Read the full text of the Lobbying Disclosure Act.

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federal Grant and Cooperative Agreement Act (1977)

The federal Grant and Cooperative Agreement Act set out to guide government agencies in their use of federal funds – particularly by distinguishing between contracts, cooperative agreements, and grants.

Contracts, the law states, are awarded when a federal agency is acquiring something – a service, for example. Both

grants and cooperative agreements are awarded when a federal agency is aiding – the latter occurring when substantial involvement by the agency is anticipated.

Read the full text of the federal Grant and Cooperative Agreement Act.

92 Stat. 3 - federal Grant and Cooperative Agreement Act

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Who is Eligible?

Determining whether you are eligible to apply for and receive a federal grant is especially important. If you are not legally eligible for a specific funding opportunity, you would waste a lot of time and money completing the application process when you cannot receive the grant.

When considering eligibility, the first step is to know what type of organization you represent (or whether you are applying as an individual). If you already know whether you will apply on behalf of your organization or as an individual, then you are ready to check your eligibility.

There are many types of organizations generally eligible to apply for funding opportunities on Grants.gov. Each type of organization listed in the categories below is a specific search criterion in Search Grants. Individual applicants are welcome too!

Government Organizations

State governments

County governments

City or township governments

Special district governments

Native American tribal governments (federally recognized)

Native American tribal governments (other than federally recognized)

Education Organizations

Independent school districts

Public and state-controlled institutions of higher education

Private institutions of higher education

Public Housing Organizations

Public housing authorities

Indian housing authorities

Nonprofit Organizations

Nonprofits having a 501(c)(3) status with the Internal Revenue Service (IRS), other than institutions of higher education.

Nonprofits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education.

For-Profit Organizations

Organizations other than small businesses

Small Businesses

Small business grants may be awarded to companies meeting the size standards established by the U.S. Small Business Administration (SBA) for most industries in the economy.

Individuals

Individual people may submit applications for a funding opportunity on their own behalf (i.e., not on behalf of a company, organization, institution, or government). If you are registered with only an individual applicant profile, you are only allowed to apply to funding opportunities that are open to individuals.

Most of the funding opportunities on Grants.gov are for organizations, not individuals. If you are looking for personal financial assistance or other types of funding, check out the Grant Programs section to learn about how to find other forms of funding from the government.

Foreign Applicants

The authorizing legislation and agency policies will determine whether a foreign individual or organization may apply for the grant. Foreign applicants need to complete the same registration process as domestic applicants, but there are additional steps to this registration process.

Depending on the intended usage of the grant you are applying for, you may need to file a U.S. tax return which requires a Taxpayer Identification Number (TIN), also referred to as an employer Identification Number (EIN). If a non-resident alien is awarded funding to perform activities outside the United States, then this likely does not constitute U.S. source income and a TIN/EIN is not necessary. Examples of such funding include scholarships, fellowship grants, targeted grants, and achievement awards.

Before applying, foreign applicants should thoroughly review the IRS website and search for their most recent guidance for Aliens and International Taxpayers.

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Grant Terminology

The grants community is diverse, and so is the terminology we use to talk about roles and aspects of the grants lifecycle. Here is a glossary of grant terms based on the Grant Policies and Grants.gov functionality.

A

Agency Specific Data Sets

Data that an agency collects in addition to data on any of the SF-424 series forms.

Applicant

Any user registered with an applicant account type. See also Individual Applicant and Organization Applicant

Application

The specific set of forms, documents, and attachments that comprise an applicant's submission to a federal grant opportunity.

Application Package Template

One or more forms and documents which can be reused for multiple opportunity-specific application packages.

Authorized Organization Representative (AOR)

See Standard AOR and Expanded AOR.

Award

Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the federal government to an eligible recipient. The term does not include: technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees,

interest subsidies, or insurance; direct payments of any kind to individuals; and contracts which are required to be entered into and administered under federal procurement laws and regulations.

B

Budget

The financial plan for the project or program that the federal awarding agency or pass-through entity approves during the federal award process or in subsequent amendments to the federal award. It may include the federal and non-federal share or only the federal share, as determined by the federal awarding agency or pass-through entity.

C

Cage Code

A five-character code which identifies companies doing, or planning to do business with the federal government and is assigned through SAM.

Catalog of federal Domestic Assistance (CFDA) number

The number assigned to a federal program in the CFDA.

CFDA program title

The title of the program under which the federal award was funded in the CFDA.

Close Date

The deadline designated by the grant-making agency designated for submission of a particular grant application. Also see Grace Period

Closeout

The process by which the federal awarding agency or pass-through entity determines that all applicable administrative actions and all required work of the federal award have been completed and takes actions as described in § 200.343 Closeout of the OMB Uniform Grants Guidance.

Competition ID

A grantor selected ID that allows further distinction of the funding opportunity number which allows applications with the same funding opportunity number to be assigned unique identifiers.

Congressional District

One of a fixed number of districts into which a state is divided, each district electing one member to the national House of Representatives. Review the How to Find Your Congressional District for the SF-424 Form blog post for more information.

Continuation Grant

An extension or renewal of existing program funding for one or more additional budget period(s) that would otherwise expire. Continuation grants are typically available to existing recipients of discretionary, multi-year projects; however, new applicants may be considered.

Receipt of a continuation grant is usually based on availability of funds, project performance, and compliance with progress and financial reporting requirements. Applications for continuation may compete with other continuation requests submitted to the awarding agency.

Contract

A legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. The term as used in the OMB Uniform Grants Guidance does not include a legal instrument,

even if the non-federal entity considers it a contract, when the substance of the transaction meets the definition of a federal award or subaward (see § 200.92 Subaward of the OMB Uniform Grant Guidance).

Contractor

An entity that receives a contract as defined in § 200.22 Contract of the OMB Uniform Grant Guidance.

Cooperative Agreement

A legal instrument of financial assistance between a federal awarding agency or pass-through entity and a non-federal entity that, consistent with 31 U.S.C. 6302–6305:

Is used to enter a relationship the principal purpose of which is to transfer anything of value from the federal awarding agency or pass-through entity to the non-federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the federal government or pass-through entity's direct benefit or use.

Is distinguished from a grant in that it provides for substantial involvement between the federal awarding agency or pass-through entity and the non-federal entity in carrying out the activity contemplated by the federal award.

The term does not include: (1) A cooperative research and development agreement as defined in 15 U.S.C. 3710a; or (2) An agreement that provides only: (i) Direct United States Government cash assistance to an individual; (ii) A subsidy; (iii) A loan; (iv) A loan guarantee; or (v) Insurance.

Cost Sharing or Matching

The portion of project costs not paid by federal funds (unless otherwise authorized by federal statute). See also §200.306 Cost sharing or matching of the OMB Uniform Grant Guidance.

D

Data Universal Numbering System (DUNS) Number

The nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify entities. A non-federal entity is required to have a DUNS number in order to apply for, receive, and report on a federal award. A DUNS number may be obtained from D&B by telephone (currently 866–705–5711) or the Internet (currently at http://fedgov.dnb.com/webform Click to View Exit Disclaimer).

Date of Completion

The date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which awarding agency sponsorship ends.

Discretionary Grant

A grant (or cooperative agreement) for which the federal awarding agency generally may select the recipient from among all eligible recipients, may decide to make or not make an award based on the programmatic, technical, or scientific content of an application, and can decide the amount of funding to be awarded. Review the What Is a Discretionary Grant? blog post for more information.

Download

Transferring data (usually a file) from another computer to the computer you are using.

E

E-Business Point of Contact (EBiz POC)

A user registered as an organization applicant who is responsible for the administration and management of grant activities for his or her organization. The EBiz POC is likely to be an organization's chief financial officer or authorizing official. The EBiz POC authorizes representatives of their organization to apply on behalf of the organization (see Standard AOR and Expanded AOR). There can only be one EBiz POC per DUNS Number.

Earmark

Earmarks are grants that are appropriated by Congress prior to a peer review. The term "earmark" is a reference to the Congressional Record where the awards are written into legislation specifically with the grant applicant's name, activity, and dollar amounts.

Expanded Authorized Organization Representative (AOR)

An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Expanded AOR role is authorized to submit any applications on behalf of the organization and has privileges that allow the user to modify organization-level settings in Grants.gov.

F

federal Agency

federal agency means an ''agency'' as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).

federal Award

federal award has two definitions, which depend on the context of its use. Paragraphs (a) and (b) explain the context and define the term appropriately.

(1) The federal financial assistance that a non-federal entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in § 200.101 Applicability of the OMB Uniform Grant Guidance; or (2) The cost-reimbursement contract under the federal Acquisition Regulations that a non-federal entity receives directly from a federal awarding agency or indirectly from a pass-through entity, as described in § 200.101 Applicability of the OMB Uniform Grant Guidance.

The instrument setting forth the terms and conditions. The instrument is the grant agreement, cooperative agreement, other agreement for assistance covered in paragraph (b) of § 200.40 federal financial assistance of the OMB Uniform Grant Guidance, or the cost-reimbursement contract awarded under the federal Acquisition Regulations. (c) federal award does not include other contracts that a federal agency uses to buy goods or services from a contractor or a contract to operate federal government owned, contractor operated facilities (GOCOs). (d) See also definitions of federal financial assistance, grant agreement, and cooperative agreement.

federal Award Date

The date when the federal award is signed by the authorized official of the federal awarding agency.

federal Award Identification Number (FAIN)

The unique ID within the federal agency for each financial assistance award.

federal Awarding Agency

The federal agency that provides a federal award directly to a non-federal entity. Alternative term: Grant-Making Agency

federal Financial Assistance

For grants and cooperative agreements, federal financial assistance means assistance that non-federal entities receive or administer in the form of:

Grants

Cooperative agreements

Non-cash contributions or donations of property (including donated surplus property)

Direct appropriations

Food commodities

Other financial assistance (except assistance listed in paragraph (b) of this section).

For Subpart F—Audit Requirements of the OMB Uniform Grant Guidance, federal financial assistance also includes assistance that non-federal entities receive or administer in the form of:

Loan

Loan Guarantees

Interest subsidies

Insurance

federal financial assistance does not include amounts received as reimbursement for services rendered to individuals as described in § 200.502 Basis for determining federal awards expended, paragraph (h) and (i) of the OMB Uniform Grant Guidance.

federal Program

All federal awards which are assigned a single number in the CFDA.

When no CFDA number is assigned, all federal awards to non-federal entities from the same agency made for the same purpose should be combined and considered one program.

Notwithstanding paragraphs (a) and (b) of this definition, a cluster of programs. The types of clusters of programs are: Research and development (R&D) Student financial aid (SFA) "Other clusters" as described in the definition of Cluster of Programs.

federal Share

The portion of the total project costs that are paid by federal funds.

Formula Grant

Allocations of federal funding to states, territories, or local units of government determined by distribution formulas in the authorizing legislation and regulations. To receive a formula grant, the entity must meet all the eligibility criteria for the program, which are pre-determined and not open to discretionary funding decisions.

Formula grants typically fund activities of a continuing nature and may not be confined to a specific project. Common elements in formulas include population, proportion of population below the poverty line, and other demographic information.

Funding Opportunity Announcement (FOA)

A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually because of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program. Funding opportunity announcements can be found at

Grants.gov in the Search Grants tab and on the funding agency's or program's website.

Funding Opportunity Number (FON)

The number that a federal agency assigns to its grant announcement.

Funding Period

The period when federal funding is available for obligation by the recipient.

G

Grace Period

A grace period may be created at the grant-making agency's discretion to extend the application submission period. This period reflects the number of days after the closing date that Grants.gov will continue to accept applications for a grant opportunity, for example, an agency might include a grace period to accept revised applications. It also represents the day (Closing Date + Grace Period) that applicants will no longer be able to download the application package. This value is entered by an agency when creating a grant opportunity and is not visible to grant applicants.

Grant Agreement

A legal instrument of financial assistance between a federal awarding agency or pass-through entity and a non-federal entity that, consistent with 31 U.S.C. 6302, 6304:

Is used to enter a relationship the principal purpose of which is to transfer anything of value from the federal awarding agency or pass-through entity to the non-federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the

federal awarding agency or pass-through entity's direct benefit or use.

Is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the federal awarding agency or pass-through entity and the non-federal entity in carrying out the activity contemplated by the federal award.

Does not include an agreement that provides only: (1) Direct United States Government cash assistance to an individual; (2) A subsidy; (3) A loan; (4) A loan guarantee; or (5) Insurance.

Grantor

A user registered on behalf of their federal grant-making agency to post funding opportunities or manage submissions to these funding opportunities.

Grants.gov Tracking Number

A number set used by Grants.gov which is used to identify each application it receives.

I

Indian Tribe (or federally recognized Indian tribe)

Any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. Chapter 33), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians (25 U.S.C. 450b(e)). See annually published Bureau of Indian Affairs list of Indian Entities Recognized and Eligible to Receive Services.

Individual Applicant

A registered applicant user who submits applications on their own behalf. Individuals sign the grant application and its associated certifications and assurances that are necessary to fulfill the requirements of the application process.

Institutions of Higher Education (IHEs)

IHE is defined at 20 U.S.C. 1001, which states, "an educational institution in any State that—

admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate, or persons who meet the requirements of section 1091(d) of this title; is legally authorized within such State to provide a program of education beyond secondary education; provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree, or awards a degree that is acceptable for admission to a graduate or professional degree program, subject to review and approval by the Secretary; is a public or other nonprofit institution; and is accredited by a nationally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted reaccreditation status by such an agency or association that has been recognized by the Secretary for the granting of reaccreditation status, and the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time."

L

Local Government

Any unit of government within a state, including a: (a) County; (b) Borough; (c) Municipality; (d) City; (e) Town; (f) Township; (g) Parish; (h) Local public authority, including any

public housing agency under the United States Housing Act of 1937; (i) Special district; (j) School district; (k) Intrastate district; (l) Council of governments, whether or not incorporated as a nonprofit corporation under state law; and (m) Any other agency or instrumentality of a multi-, regional, or intra-state or local government.

M

Mandatory Form

The forms that are required for the application. Please note that a mandatory form must be completed before the system will allow the applicant to submit the application package.

Mandatory Grant

A grant (or cooperative agreement) awarded under a program where the authorizing statute requires the head of the agency or designee to make an award to each eligible entity under the conditions and in the amount (or based on the formula) specified in the statute.

N

Non-federal Entities

A state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a federal award as a recipient or subrecipient.

Nonprofit Organization

Any corporation, trust, association, cooperative, or other organization, not including IHEs, that: (a) Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (b) Is not organized primarily for profit; and (c) Uses net proceeds to maintain, improve, or expand the operations of the organization.

O

Obligations

When used in connection with a non-federal entity's utilization of funds under a federal award, obligations means orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the non-federal entity during the same or a future period.

Opportunity Category

A field located on the Grant Opportunity Properties screen within Grants.gov. The Opportunity Category field values include Discretionary, Mandatory, Earmark, and Continuation. The Opportunity Category field was added to the site to assist Grants.gov with aggregating opportunities and application packages for public and private displays on the site. For example, there are links which show grant opportunities and packages recently posted to the site. Those opportunities and packages with a category type of Earmarked or Continuation will not show up on these public listings.

Opportunity Package

Synonymous with "Application"—the specific set of forms, documents, and attachments that comprise an applicant's submission to a federal grant opportunity.

Optional Forms

The forms that can be used to provide additional support for an application but are not required to complete the application package.

Organization Applicant

A registered grant applicant user who is working on or submitting applications on behalf of an organization, such as a state government, nonprofit organization, private business, or any other type of institution.

Oversight Agency for Audit

The federal awarding agency that provides the predominant amount of funding directly to a non-federal entity did not assign a cognizant agency for audit. When there is no direct funding, the federal awarding agency which is the predominant source of pass-through funding must assume the oversight responsibilities. The duties of the oversight agency for audit and the process for any reassignments are described in § 200.513 Responsibilities, paragraph (b) of the OMB Uniform Grants Guidance.

P

Pass-Through Entity

Pass-through entity means a non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program.

Pass-Through Funding

Funds issued by a federal agency to a state agency or institution that are then transferred to other state agencies, units of local government, or other eligible groups per the award eligibility terms. The state agency or institution is referred to as the "prime recipient" of the pass-through funds. The secondary recipients are referred to as "subrecipients." The prime recipient issues the subawards as competitive or noncompetitive as dictated by the prime award terms and authorizing legislation. Read the What Is a Government Grant and Pass-Through Funding? blog post for more information.

Personally, Identifiable Information (PII)

Information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. Some information that is PII is available in

public sources such as telephone books, public Web sites, and university listings. This type of information is Public PII and includes, for example, first and last name, address, work telephone number, email address, home telephone number, and general educational credentials. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. Non-PII can become PII whenever additional information is made publicly available, in any medium and from any source, that, when combined with other available information, could be used to identify an individual.

Posted Date

The date the grant-making agency published the funding opportunity on Grants.gov.

Profile

Applicant information stored in the Grants.gov system for the purpose of identifying a user. Read the Add Profile to a Grants.gov Account page for more information.

Program Income

Program income means gross income earned by the non-federal entity that is directly generated by a supported activity or earned because of the federal award during the period of performance. (See §200.77 Period of performance.) Program income includes but is not limited to income from fees for services performed, the use or rental or real or personal property acquired under federal awards, the sale of commodities or items fabricated under a federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with federal award funds. Interest earned on advances of federal funds is not program income. Except as otherwise provided in federal statutes, regulations, or the terms and conditions of the federal award, program income does not include rebates, credits,

discounts, and interest earned on any of them. See also §200.407 Prior written approval (prior approval). See also 35 U.S.C. 200-212 "Disposition of Rights in Educational Awards" applies to inventions made under federal awards.

Project Cost

Total allowable costs incurred under a federal award and all required cost sharing and voluntary committed cost sharing, including third-party contributions.

Project Period

The period established in the award document during which awarding agency sponsorship begins and ends.

Protected Personally Identifiable Information (Protected PII)

An individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts. This does not include PII that is required by law to be disclosed. (See also § 200.79 Personally Identifiable Information (PII) in the OMB Uniform Grants Guidance).

R

Recipient

A non-federal entity that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include subrecipients. See also § 200.69 Non-federal entity in the OMB Uniform Grants Guidance.

Research and Development (R&D)

All research activities, both basic and applied, and all development activities that are performed by non-federal entities. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function. ''Research'' is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. ''Development'' is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Role

This Grants.gov term refers to the specific set of functions assigned to a grantor or organization applicant. Each role provides a user with specific rights, responsibilities, and levels of access to functionality within the Grants.gov system. For more information about applicant roles, review the Manage Roles for Applicant help article. For more information about grantor roles, review the Manage Roles for Grantor help article.

Role Manager

The grantor user listed as the Point of Contact for a specific grant-making agency or subagency. This person will receive any email notifications about application submissions or agency creations, depending on the option selected in the agency's profile.

S

Standard Authorized Organization Representative (AOR)

An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Standard AOR role can only submit applications when they are a Participant of that workspace.

State

Any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentality thereof exclusive of local governments.

Student Financial Aid (SFA)

federal awards under those programs of general student assistance, such as those authorized by Title IV of the Higher Education Act of 1965, as amended, (20 U.S.C. 1070–1099d), which are administered by the U.S. Department of Education, and similar programs provided by other federal agencies. It does not include federal awards under programs that provide fellowships or similar federal awards to students on a competitive basis, or for specified studies or research.

Subaward

An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient

A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program; but

does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.

Synopsis of Funding Opportunity

Summary information extracted from or based on the funding opportunity announcement that is displayed in FOAs found within the Search Grants tab of Grants.gov. The posting in Grants.gov includes a direct link to the funding opportunity announcement or includes a downloadable copy of the funding opportunity announcement.

System for Award Management (SAM)

SAM validates applicant information and electronically shares the secure and encrypted data with the federal agencies' finance offices to facilitate paperless payments through Electronic Funds Transfer (EFT). SAM stores your organizational information, allowing Grants.gov to verify your identity and to pre-fill organizational information on your grant applications. For more information, review the Register with SAM page.

T

Termination

The ending of a federal award, in whole or in part at any time prior to the planned end of period of performance.

Third-Part In-Kind Contributions

Third-party in-kind contributions means the value of non-cash contributions (i.e., property or services) that- (a) Benefit a federally assisted project or program; and (b) Are contributed by non-federal third parties, without charge, to a non-federal entity under a federal award.

U

User

Any person navigating the Grants.gov website.

W

Workspace Manager role

An applicant user with the Workspace Manager role is authorized to create new workspaces. Review the Workspace Roles page for more detailed information.

Workspace Owner

Registered applicant user with the responsibility to manage user access to a workspace. There is only one Workspace Owner per workspace, which is initially granted to the user with the Workspace Manager role who created the workspace. After initial creation of a workspace, the Workspace Owner access can be reassigned to any participant with the Workspace Manager role.

Workspace Participant

A registered applicant user with access to at least one workspace, allowing the user the ability to perform an action on any form within the specific workspace(s) in which they are added. Participants may have any combination of roles. For more information, review the Workspace Roles page.

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What Federal Agencies Award Grants?

The convenient e-Government initiative of Grants.gov provides access to information about federal grant-making agencies. If you would like to learn more about grant programs specific to these agencies, please click on the agency name below:

U.S. Agency for International Development (USAID)

The Agency for International Development is an independent federal government agency that provides economic and humanitarian assistance in more than 100 countries to ensure a better future for us all. (https://www.usaid.gov)

AmeriCorps (AC)

AmeriCorps is the federal agency connecting individuals and organizations through service and volunteering to tackle the nation's most pressing challenges. Learn more at https://americorps.gov.

U.S. Department of Agriculture (USDA)

Established in 1862, the Department of Agriculture serves all Americans through anti-hunger efforts, through stewardship of nearly 200 million acres of national forest and rangelands, and through product safety and conservation efforts. The USDA opens markets for American farmers and ranchers and provides food for needy people around the world. (https://www.usda.gov)

U.S. Department of Commerce (DOC)

The Department of Commerce fosters and promotes the nation's economic development and technological advancement through vigilance in international trade policy, domestic business policy and growth, and promoting economic progress at all levels. (https://www.commerce.gov)

U.S. Department of Defense (DOD)

The Department of Defense provides the military forces needed to deter war and protect the security of the United States through five major areas: peacekeeping and war-fighting efforts, Homeland Security, evacuation, and humanitarian causes. (http://www.dod.gov)

U.S. Department of Education (ED)

The Department of Education ensures equal access to education and promotes educational excellence through coordination, management, and accountability in federal education programs. The Department works to supplement and complement educational efforts on all levels, encouraging increased involvement by the public, parents, and students. (https://www.ed.gov)

U.S. Department of Energy (DOE)

The Department of Energy's goal is to advance national, economic, and energy security in the U.S.; to promote scientific and technological innovation in support of that goal; and to ensure environmental cleanup of the national nuclear weapons complex. (http://www.energy.gov)

U.S. Department of Health and Human Services (HHS)

The Department of Health and Human Services is the federal government's principal agency for protecting the health of all Americans and providing essential human services, especially to those who are least able to help themselves. (https://www.hhs.gov)

U.S. Department of Homeland Security (DHS)

The Department of Homeland Security has three primary missions: Prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism and minimize the

damage from potential attacks and natural disasters.
(https://www.dhs.gov)

U.S. Department of Housing and Urban Development (HUD)

The Department of Housing and Urban Development's mission is to increase homeownership, support community development and increase access to affordable housing free from discrimination. HUD fulfills this mission through high ethical standards, management, and accountability, and by forming partnerships with community organizations. (http://www.hud.gov)

U.S. Department of the Interior (DOI)

The Department of the Interior protects and provides access to the nation's natural and cultural heritage, including responsibilities to Indian tribes and island communities. Departmental goals include resource protection and usage, overseeing recreational opportunities, serving communities, and excellence in management. (https://www.doi.gov)

U.S. Department of Justice (DOJ)

The Department of Justice enforces the law and defends the interest of the United States, ensuring public safety against threats foreign and domestic; providing federal leadership in preventing and controlling crime; seeking just punishment for those guilty of unlawful pursuits; and ensuring fair and impartial administration of justice for all Americans. (https://www.usdoj.gov)

U.S. Department of Labor (DOL)

The Department of Labor fosters and promotes the welfare of job seekers, wage earners and retirees by improving their working conditions, advancing their opportunities, protecting their retirement and health benefits, and generally protecting worker rights and monitoring national economic measures. (https://www.dol.gov)

U.S. Department of State (DOS)

The Department of State strives to create a more secure, democratic, and prosperous world for the benefit of the American people and the international community. (https://www.state.gov)

U.S. Department of Transportation (DOT)

The Department of Transportation's mission is to ensure fast, safe, efficient, accessible, and convenient transportation that meets vital national interests and enhances the quality of life of the American people, today and into the future. (https://www.dot.gov)

U.S. Department of the Treasury (TREAS)

The Department of Treasury is a steward of United States economic and financial systems, promotes conditions for prosperity and stability in the U.S., and encourages prosperity and stability in the rest of the world. (https://www.treasury.gov)

U.S. Department of Veterans Affairs (VA)

The Department of Veterans Affairs strives for excellence in patient care and veteran's benefits for its constituents through high-quality, prompt, and seamless service to United States veterans. (https://www.va.gov)

Environmental Protection Agency (EPA)

The mission of the Environmental Protection Agency is to protect human health and the environment. Since 1970, the EPA has been working for a cleaner, healthier environment for the American people. (https://www.epa.gov)

Institute of Museum and Library Services (IMLS)

The Institute of Museum and Library Services is the primary source of federal support for the nation's 122,000 libraries and 17,500 museums. The Institute serves as a leader in providing services to enhance learning, sustain cultural heritage, and increase civic participation. (https://www.imls.gov)

National Aeronautics and Space Administration (NASA)

The National Aeronautics and Space Administration serves as the nation's forefront of such exploration and continues to pioneer in aeronautics, exploration systems, science, and space operations. (https://www.nasa.gov)

National Archives and Records Administration (NARA)

The National Archives and Records Administration enables people to inspect the record of what the federal

government has done, enables officials and agencies to review their actions, and helps citizens hold them accountable. (https://www.archives.gov)

National Endowment for the Arts (NEA)

The National Endowment for the Arts is a public agency dedicated to supporting excellence in the arts, bringing the arts to all Americans, and providing leadership in arts education. The Endowment is the largest national source of funds for the arts. (http://www.nea.gov)

National Endowment for the Humanities (NEH)

The National Endowment for the Humanities is an independent grant-making agency of the United States government dedicated to supporting research, education, preservation, and public programs in the humanities. (https://www.neh.gov)

National Science Foundation (NSF)

The National Science Foundation is an independent federal agency created to promote the progress of science, to advance the national health, prosperity, and welfare, and to secure the national defense. The NSF annually funds approximately 20 percent of basic, federally supported college and university research. (https://www.nsf.gov)

Small Business Administration (SBA)

The Small Business Administration maintains and strengthens the nation's economy by aiding, counseling, assisting, and protecting the interests of small businesses, and by helping families and businesses recover from national disasters. (https://www.sba.gov)

Social Security Administration (SSA)

The Social Security Administration advances the economic security of the nation's people through compassionate and vigilant leadership in shaping and managing America's Social Security programs. (https://www.ssa.gov)

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Systems and Tools Supporting Federal Awards

The following systems and tools are involved in the registration, application, and reporting processes connected to federal awards. (Note: This is not an exhaustive list. Please email support@grants.gov to request that another federal system or tool be added.)

Automated Standard Application for Payments (ASAP) - TREAS

ASAP, or the Automated Standard Application for Payments, is a platform through which award recipients and federal agencies may process grant payment requests and handle disbursement reporting activities.

Commercial and Government Entity (CAGE) Code - DLA

The Defense Logistics Agency (DLA) CAGE Code website provides a standalone solution to search for foreign and domestic entities' CAGE information.

DisasterAssistance.gov - DHS

DisasterAssistance.gov is a resource for citizens impacted by a disaster. The website provides information about support and services, and it is also a channel through which entities may apply for financial assistance.

Dun & Bradstreet

The Dun & Bradstreet Government Request Service for US Federal Government Contractors and Assistance Awardees allows applicants to look-up or request a unique DUNS number, which is required when registering on Grants.gov.

electronic Research Administration (eRA) - NIH

The National Institute of Health's (NIH) electronic Research Administration systems support grant processing for applicants, award recipients, and federal staff.

Federal Procurement Data System (FPDS) - GSA-IAE

The Federal Procurement Data System is a searchable repository of data related to government procurement and contracts. Some federal agencies also publish financial assistance data to the system.

Grant Solutions - HHS

The grants management solutions developed by The Grants Center of Excellence (COE) serve both grant-making agencies as well as applicants and award recipients.

Interagency Edison (iEdison) - HHS, NIH

Interagency Edison is a portal through which grant recipients and contractors report to their funding agency about inventions created with government funds.

Internet Data Entry System (IDES) & Federal Audit Clearinghouse (FAC) - DOC, Census

The Internet Data Entry System is the channel through which federal award recipients submit their single audit reporting packages to the Federal Audit Clearinghouse.

North Atlantic Treaty Organization (NATO) Commercial and Government Entity (NCAGE) Code - NSPA

The CAGE Code is assigned to organizations (e.g., manufacturers, distributors, etc.) to facilitate the supply chain. The NATO Codification System (NCS) differentiates between the U.S. and NATO systems, so CAGE was referred to as NCAGE in the NCS community.

Payment Management System (PMS) - HHS

The Payment Management System, like ASAP, is a platform that handles the grant payment requests and disbursement reporting activities of grant recipients and grant-making agencies.

Research.gov - NSF

Research.gov serves the research community by providing access to important information, thus streamlining business processes among partner agencies.

System for Awards Management (SAM)

The System for Awards Management is a free platform through which entities applying to receive awards from the U.S. Federal Government must register.

Tracking Accountability in Government Grants System (TAGGS) - HHS

The Tracking Accountability in Government Grants System warehouses over 20 years of HHS grant-award program data, and it is designed to facilitate the public and private sector constituent's understanding of the work, availability, benefits, and trends in HHS-facilitated public investment.

 USAspending.gov - TREAS

USASpending.gov is a single, searchable website accessible to the public listing information about every Federal award, as required by the Federal Funding Accountability and Transparency Act (FFATA) of 2006.

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Finding Grant Programs

If you are just entering the realm of grants and government funding, it can feel overwhelming trying to find the right program for you or your organization. When considering grants, these programs can be broadly categorized as those awarded by the federal government and those awarded by non-federal entities. Within these two categories are a variety of funding sources and program types.

Federal Grants, Funding & Benefit Programs

To sort through the federal grant programs, the authoritative source is the Catalog of Federal Domestic Assistance (CFDA). This catalog lists all the available funding programs to all levels of government, nonprofit organizations, for-profit businesses, and other eligible entities. Search Grants within Grants.gov allows you to search, filter, and apply for specific opportunities to receive funding from one of these programs.

Non-Federal Grant Programs

There are many nonprofit organizations and for-profit businesses that also provide grants or other types of funding assistance.

Note: The information below is not exhaustive, and Grants.gov is not affiliated with, nor endorsing, any of these resources. They are provided as a convenience to prospective grant applicants.

Candid Click to View Exit Disclaimer maintains a comprehensive database on U.S. and global grant-makers and their funding opportunities. It also operates research, education, and training programs designed to advance knowledge of philanthropy at every level.

Candid's Funding Information Network Click to View Exit Disclaimer facilitates access to grant resources and publications to under-resourced entities and populations.

State and regional directories can also be found with some research. Try using the Community Foundation Locator Click to View Exit Disclaimer to find a grant-making foundation in your region. You may also use your preferred web search engine to find your state's grant or foundation directory. Local libraries may have access to subscription-based search engines or the

Foundation Center Cooperating Collections, so visit your library to work with them for assistance.

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Overview

The Office of Personnel Management (OPM) defines federal grants management as work that "involves implementing and managing federal grants and cooperative agreements and providing grants-related assistance and services."

To prepare employees and prospective employees for grant-related career paths, the federal government has developed a range of tools and assets. If you are considering a career in federal grants management, or if you are hoping to add related skillsets to your resume, we encourage you to consult the following resources after familiarizing yourself with the Grants 101 section of the Grants Learning Center:

Grants Management

OPM's position flysheet for grants management contains example tasks, including administering grants, designing grant policy, and serving as liaison between the government and external parties.

Financial Management

The Chief Financial Officers (CFO) Council identified functional competencies that are standard performance requirements for individuals working in federal financial assistance management.

Additional Resources to Help Your Grant Career

Grants Management Online Training Course: The CFO Council has developed an online course for government employees and grant professionals hoping to work in federal financial assistance management.

Module 1 – Laws, Regulations, and Guidance

Module 2 – Financial Assistance Mechanisms

Module 3 – Uniform Guidance Administrative Requirements

Module 4 – Cost Principles

Module 5 – Risk Management and Single Audit

Financial Assistance Management Career Roadmap: This interactive resource from the CFO Council supports the grants management workforce to identify and learn about key competencies to continue their professional development.

Federal Financial Management Career Roadmap: This interactive resource was developed by the CFO Council to support the professional development of federal financial management professionals.

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Understanding the Reporting and Oversight Process

In 2006, the Federal Funding Accountability and Transparency Act (FFATA) set in motion a government-wide reporting procedure that has continued to evolve.

The law requires that information about entities and organizations receiving federal funds be disclosed to the public via a central website, USAspending.gov. This information currently

includes the entity's name, amount of the grant, funding agency, and location – among other requirements – and is published by the grant-making agency on USASpending.gov.

The federal award recipient – called the "prime awardee" by FFATA – files progress reports via the FFATA Sub-award Reporting System (FSRS).

Sub-recipients – those entities receiving sub-grants – submit data to the prime awardee. (Those sub-recipients with awards of $25,000 or more must have their data shared by the prime awardee through FSRS.)

The following chart lays out this process in a linear format: Sub-awardees give their reporting data to prime awardees; prime awardees submit all required data via FSRS; and federal grant-making agencies publish program data on USASpending.gov.

Making Sense of the Grant Reporting Process

Sub-awardees give their reporting data to prime awardees.

Prime awardees submit all required data via FSRS.

Federal grant-making agencies publish program data on USASpending.gov.

Types of Oversight

What kinds of data are federal award recipients expected to include in their reporting?

The information falls into one of three categories: financial data, such as expenses paid for with federal funds; compliance information to ensure the recipient is following federal regulations; and project data highlighting progress and/or community impact.

Grant-making agencies use this information, in part, to gauge the success of their own programs and initiatives.

The required information may be collected through several different channels, including regular progress reports, site visits, and audits (see table below).

Progress Reports

Site Visits & Technical Assistance

Audits

Grant recipients submit regular reports (called "Performance Progress Reports" or "Research Performance Progress Reports") documenting a project throughout its lifespan.

These reports may include both expense-related data and quantitative information about the project's impact.

Grant recipients may receive site visits from the federal grantor agency. Such visits provide an opportunity for two-way communication between the grantor and the award recipient.

Technical assistance provided by the grantor is also a means for ensuring that the grant recipient is complying with the award agreement.

The Single Audit Act (amended in 1996) states that grant recipients may be subject to an audit once a year.

The audit aims to ensure compliance with government regulations and evaluate financial information, including expenses paid for with federal award funds.

Standard Grants Reporting Forms

SF-270, Request for Advance or Reimbursement

SF-271, Outlay Report and Request for Reimbursement for Construction Programs

SF-425, Federal Financial Report

SF-425A, Federal Financial Report Attachment

SF-428, Tangible Personal Property

SF-429, Real Property Status Report

Research Performance Progress Report (RPPR)

SF-LLL, Disclosure of Lobbying Activities -- as revised in 1996

SF-SAC, Data Collection Form for Single Audits

Sources: FSRS.gov, Office of Management and Budget, Introduction to Grants and Cooperative Agreements for Federal Personnel Click to View Exit Disclaimer, Department of Transportation

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You Can Help Fight Fraudulent Activity

Every year, hundreds of billions of dollars are distributed in the form of federal grants to universities, local governments, organizations, and individuals.

Most of these funds are spent as intended, but misuse, deceit and abuse are nonetheless present. As a result, hundreds of thousand dollars go to waste.

Fraudulent behavior can take the form of embezzlement, theft, bribery or false claims and statements. Such violations of federal law are difficult to flag without the help of individuals inside the grant community.

Learn how you can help to stop fraudulent behavior and, thus, strengthen the integrity of the federal grant system and increase the overall efficiency of the government.

What is grant fraud?

Grant fraud typically occurs when award recipients attempt to deceive the government about their spending of award money. Such behavior amounts to "lying, cheating and stealing," according to the Department of Justice.

Learn more about the responsibilities of entities that receive federal grant funds.

What is a grant scam?

The allure of so-called "free money" from the federal government has enabled scam artists to prey on people's hopes by promising access to grants – often for a fee. Federal grants are rarely awarded to individuals seeking personal benefits and applying for a grant is completely free.

Learn how to sniff out a grant-related scam.

Read some grant scam alerts.

What are the costs of grant fraud?

Besides triggering lost efficiency and waste in the government, grant fraud can also have a significant impact on entities found to have carried it out. The Department of Justice Office of the Inspector General warns that consequences can include "debarment from receiving future funding, administrative recoveries of funds, civil lawsuits and criminal prosecution."

Who is responsible for monitoring fraudulent behavior?

Federal Inspectors General (IG) within each government agency have been established as independent and objective units tasked with combating waste, fraud, and abuse in their respective programs.

To report a suspected instance of grant fraud, contact the IG within the appropriate agency.

How can grant fraud be stopped?

Only with your help! The front line of defense against fraudulent behavior in the grant community includes accountants, auditors, and other award recipient personnel.

Access a range of resources designed to help identify and prevent grant scams and fraud.

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Do not Get Fooled by Grant Scams

Stay informed about fraudulent activity related to federal grants.

Scam Alert from the Federal Service Desk

June 3, 2015 - The Federal Service Desk (FSD) has recently been receiving claims from the public that CFDA agents have contacted them claiming that for the recipient to claim federal grant money they must first send the CFDA agent personal information or money.

Although the CFDA agent claims to be with the Community for Federal Domestic Assistance (CFDA) or a similarly named organization, and not the federally run Catalog of Federal Domestic Assistance (CFDA), they do represent themselves as agents of CFDA.

CFDA does not use social media or direct phone contact to solicit, review, or make awards.

If you hear of anyone being contacted in this way, please advise them to pass all information to the FBI's Internet Crime Complaint Center (IC3) (www.ic3.gov) and their local law enforcement authorities.

Read more about this alert on the Federal Service Desk website.

Scam Alert from the Better Business Bureau

May 22, 2014 - Better Business Bureau of Minnesota and North Dakota (BBB) is warning the public about grant scams. Recently BBB received a report from a consumer who stated they were contacted by The Washington D.C. Grant Department about being approved for a $7,000 grant. Contacts like this are not uncommon and such notices are usually accompanied by requests to pay processing fees. BBB reminds people that federal grants are not issued for personal use but are intended for institutions and non-profits to carry out projects with a public purpose.

"This is a scam that regrettably never goes out of vogue," said Dana Badgerow, president and CEO of BBB of Minnesota and North Dakota. "And the people who carry it out are good at what they do; they know what to say and how to say it, which is why everyone needs to be careful."

Usually these grant "notifications" come via the phone, but people may also receive them through mail and email. These notices usually claim to be from the Federal Grants Administration or some other phony - though official-sounding - agency. Individuals who receive them are told they are either eligible for or have been awarded a government grant.

Read about the latest scam alerts from BBB: https://www.bbb.org/council/news-events/lists/bbb-scam-alerts/ Click to View Exit Disclaimer

Scam Alert from the Council on Financial Assistance Reform (COFAR)

February 5, 2014 - The Council on Financial Assistance Reform (COFAR) received inquiries and complaints from persons targeted by a fraudulent grants scheme.

According to reports, the scam artist claims to represent the COFAR when contacting the individual. Victims are told they have been selected to receive a government grant ranging from $5,000 to $25,000. To receive the grant money, the representative explains a "processing fee" ranging between $150 and $700 must be paid and asks individuals for bank account information.

The COFAR is not a grant making organization and has been disbanded. The COFAR will never request banking information, social security numbers or other personally identifiable information to facilitate the issuance of a "grant". Grants are not benefitting or entitlements. A federal grant is an award of financial assistance from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States.

If you think you may have been a victim of a government grant scam, file a complaint with the FTC online, or call toll-free, 1-877-FTC-HELP (1-877-382-4357); TTY: 1-866-653-4261.

The FTC enters Internet, telemarketing, identity theft, and other fraud-related complaints into Consumer Sentinel, a secure online database available to hundreds of civil and criminal law enforcement agencies in the U.S. and abroad. Click here for more information: http://www.consumer.ftc.gov/articles/0113-government-grant-scams.

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How to Recognize and Avoid Grant Scams

If an individual contacts you about an opportunity to obtain free money in the form of a grant from the federal government, be extremely wary. You are likely being targeted as part of a scam. Any of the following statements should put you on high alert:

"Great news! You are eligible to receive a government grant."

The government does not contact individuals to award grants for which there has been no application. An individual who makes this claim is not from the government and could be trying to collect private personal data from you, such as your Social Security number, bank account number or other such information.

"For a small fee, you can obtain a government grant."

The government does not charge a fee for individuals or entities applying for a federal grant. While financial information may be required as part of the application process, it should be submitted through a government website, such as Grants.gov, and there should never be a cost to you.

"The Federal Bureau of Grant Awards has awarded you a $8,000 grant."

Beware of individuals claiming to work for grants-related government bureaus and departments that do not actually exist. The individual may even provide a valid address for a government office, adding a touch of realism to their claim, but do not be fooled.

"Our office is located in Washington, D.C."

Current technology can fool caller ID systems into reporting that a caller is phoning from Washington, D.C. In fact, a scam artist could be calling from anywhere in the world. Similar tactics can be used with email addresses in online communication, so be alert!

"This type of federal grant does not require an application."

Every grant from the federal government involves an application submitted through a government website, such as Grants.gov. Also, you cannot apply for federal grants over the phone or via email. Any individual claiming that a grant does not require an application, or requires only a phone call or an email, is attempting to scam you.

"You won the government grant in a drawing."

The government does not award grants based on a drawing or raffle; an individual or entity must first apply for the grant through a federal website, like Grants.gov. Any individual who claims the government is awarding a grant, for example, to a lucky group of citizens who have paid their taxes on time is attempting to scam you.

"You have been awarded a federal grant that you can spend any way you like."

Federal grants are usually awarded for specific programs, research or projects – most often to local governments, organizations, institutions and universities. Beware of any individual who promises a government award that can be spent on paying down tuition or credit card debt, or home electronics and décor.

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Grant Fraud and the Responsibilities of Award Recipients

The following information from the National Procurement Fraud Task Force, established by President Obama in 2009, are designed to help you protect your organization and the source of your federal funds by helping to detect and prevent fraud:

Why are federal grants awarded?

Each year, the United States Government awards more than $500 billion in Federal Assistance Agreements, most commonly in the form of grants that help to:

Support national infrastructure programs in transportation, homeland security, criminal justice, agriculture, human health, and the environment.

Fund scientific research, studies, and analysis

Further the social sciences, art, literature, and promote cultural enrichment.

Unfortunately, grant dollars are susceptible to fraud, waste, and abuse.

What are the responsibilities of award recipients?

Recipients of federal grants have been awarded funds to carry out the goals and objectives identified in the grant. These funds are subject to certain regulations, oversight, and audit.

Grant recipients are stewards of federal funds.

Grant dollars must be used for their intended purpose.

Grant recipients must account for costs and justify expenditures.

Using federal grant dollars for unjust enrichment, personal gain, or other than their intended use is a form of theft,

subject to criminal and civil prosecution under the laws of the United States.

What actions are violations of grant fraud statutes?

Federal grant dollars are susceptible to several forms of financial theft, most commonly in the form of specific federal violations, including:

Embezzlement

Theft or bribery concerning programs receiving federal funds

False statements

False claims

Mail fraud and wire fraud

Each of these violations of law are subject to criminal prosecution, fines, restitution, and civil penalties.

What are some examples of grant fraud?

Grant fraud occurs in many ways, but some of the most common fraud scenarios include:

Charging personal expenses as business expenses against the grant

Charging for costs which have not been incurred or are not attributable to the grant.

Charging for inflated labor costs or hours, or categories of labor which have not been incurred (for example, fictitious employees, contractors, or consultants)

Falsifying information in grant applications or contract proposals

Billing more than one grant or contract for the same work

Falsifying test results or other data

Substituting approved materials with unauthorized products

Misrepresenting a project's status to continue receiving government funds.

Charging higher rates than those stated or negotiated for in the bid or contract.

Influencing government employees to award a grant or contract to a particular company, family member, or friend.

How can grant fraud be detected and prevented?

As a grant recipient, you can protect your organization and the source of your federal funds by detecting and preventing fraud:

Establish an adequate and effective system of accounting, internal controls, records control, and records retention.

Implement an internal compliance and ethics program that encourages the recognition and reporting of fraud, waste, or abuse.

Report suspected fraud to the Inspector General of the government agency that distributed the federal grant funds.

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Resources for Preventing Grant Scams and Fraud

The following links will connect you to tips and information about protecting yourself – and the government – from grant-related fraud and scams:

Federal Trade Commission (FTC): Government Grant Scams

This FTC webpage focuses on the many ways scammers might attempt to use the promise of "free federal grants" to lure you into giving out valuable information.

Federal Trade Commission's (FTC) Complaint Assistant

This wizard will walk you through the steps of reporting a scam scenario that you may have experienced.

National Procurement Fraud Task Force – StopFraud.gov

This task force was established by President Obama in 2009 to improve "efforts across the government …to investigate and prosecute significant financial crimes." This website focuses more broadly on fraud that is committed across mass marketing channels, including mail, telephone, and the Internet.

Better Business Bureau "Scam Stopper"

This website collects information on the latest scams Click to View Exit Disclaimer surfacing across the country, including overpayment and fake check scams, emergency scams, phishing scams and home improvement scams.

Fraud.org - Government Grants

Fraud.org is a project of the National Consumers League (NCL), a nonprofit advocacy organization based in Washington,

D.C. This webpage contains tips for avoiding scams Click to View Exit Disclaimer related to so-called "government grants."

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Who can get a grant?

The federal government awards grants to organizations including State and local governments, Universities, Research labs, Law enforcement, Non-profit organizations, Businesses.

Pollution Controls has years of lab research in clean energy production and environmental controls while seeking innovative new avenues.

Start 31

The intent of most grants is to fund projects that will benefit specific parts of the population or the community. What you might see about grants online or in the media may not be true. The federal government does not offer grants or "free money" to individuals to start a business or cover personal expenses. For personal financial assistance, the government offers federal benefit programs. These programs help individuals and families become financially self-sufficient or lower their expenses.

Free Money from the Government?

The federal government does not offer grants or "free money" to individuals to start a business or cover personal expenses, contrary to what you might see online or in the media. Websites or other publications claiming to offer "free money from the government" are often scams. Report them to the federal Trade Commission.

Official site: https://www.usa.gov/ other useful sites:

https://www.usa.gov/earth-and-environment

https://www.usa.gov/benefits-grants-loans

What is a grant from the government?

A grant is one of the ways the government funds ideas and projects to provide public services and stimulate the economy. Grants support critical recovery initiatives, innovative research, and many other programs. You can find a list of projects supported by grants in the Catalog of federal Domestic Assistance (CFDA). You can also learn about the federal grant process and search for government grants at Grants.gov.

To search or apply for grants, use the free, official website, Grants.gov. Commercial sites may charge a fee for grant information or application forms. Grants.gov centralizes information from more than 1,000 government grant programs. It is designed to help states and organizations find and apply for grants.

Eligibility - Most of the funding opportunities are for organizations, not individuals.

How to apply - Get tips and tools to help you with the registration and application process. And learn how to write a successful grant proposal. Again because of its importance: Learn how to write a successful grant proposal.

Email notifications - Sign up to be notified by email about new grant opportunities.

If you receive information stating you qualify for a "free grant," it is probably a scam. Get information from the federal Trade Commission (FTC) so you can better recognize and avoid grant scams. If you have been a victim of a grant scam, you can file a complaint with the FTC.

Get all the information you can and SUBSCRIPTIONS AVAILABLE at: federal Register :: Agencies - Energy Department https://www.federalregister.gov/agencies/energy-department

Other noteworthy sites The Code of federal Regulations (CFR) is the official legal print publication containing the codification of the general and permanent rules published in the federal Register by the departments and agencies of the federal Government. The Electronic Code of federal Regulations (eCFR) is a continuously updated online version of the CFR. It is not an official legal edition of the CFR. You can learn more about the eCFR, its status, and the editorial process here.

The Department of Energy's mission is to foster a secure and reliable energy system that is environmentally and economically sustainable; to be a responsible steward of the Nation's nuclear weapons; to clean up the Department's facilities; to lead in the physical sciences and advance the biological, environmental, and computational sciences; and to provide premier scientific instruments for the Nation's research enterprise.

The Department of Energy (DOE) was established by the Department of Energy Organization Act (42 U.S.C. 7131), effective October 1, 1977, pursuant to Executive Order 12009 of September 13, 1977. The act consolidated the major federal energy functions into one Cabinet-level Department.

The Department of Energy offers grants and similar funding opportunities. Grant funds are disbursed to a recipient, such as a nonprofit entity, educational institution, business, or an individual. To receive a grant, some form of a proposal or an application is usually required. Most grants are made to fund a specific project and require the recipient to comply with the terms of the grant and report on the outcome of the project or program.

Ref: https://www.federalregister.gov/d/2015-21693/p-3

The Department of Energy (DOE) is adopting, a rule amending the administrative requirements for grants and cooperative agreements with for-profit organizations. The

regulations modify title provisions, and requirements related to the handling of real property and equipment acquired with federal funds. The regulations also add provisions related to export control requirements and supporting U.S. manufacturing, reporting on utilization of subject inventions, novation of financial assistance agreements, and changes of control of recipients.

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I. Summary

The Department makes substantial use of financial assistance awards (grants and cooperative agreements) to for-profit organizations to meet its mission goals. To manage these awards, the Department added requirements specifying changes and additions to its Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards. On May 15, 2014, a Notice of Proposed Rulemaking (NOPR) was published in the federal Register (79 FR 27795) that detailed changes to the rules for for-profit recipients.

DOE is amending the rule by adding provisions concerning: (1) The Department's title to and interest in property purchased by financial assistance recipients with federal funds; (2) the Department's ability to monitor and control the use of federal funds, property purchased with those funds, and any intellectual property developed with such funds; (3) the related issues of novation (that is, the transfer of a financial assistance agreement from one recipient entity to another) and of change of control of a recipient (that is, a transfer of control of the recipient entity from one individual, group of individuals or entity, to another); (4) reporting by recipients regarding the utilization of inventions developed with federal funds; and (5) export controls applicable to inventions and technology developed with federal funds, and

support for U.S. manufacturing of inventions and technology developed with federal funds.

DOE received no comments from members of the public in response to the NOPR. Nevertheless, DOE made the following technical changes to the text of the rule to address the codification of the Uniform Administrative Requirements, Cost Principles and Audit Requirements for federal Awards at 2 CFR part 200 and the relocation of the Department's Administrative Requirements for Grants and Cooperative Agreements from 10 CFR part 600 to 2 CFR part 910 (79 FR 76024). As a result, the regulatory text proposed as amendments to part 600 are adopted unchanged as amendments to part 910.

III. Procedural Requirements

A. Review Under Executive Orders 12866 and 13563

Today's regulatory action has been determined to be a "significant regulatory action" under Executive Order 12866, "Regulatory Planning and Review," 58 FR 51735 (October 4, 1993). Accordingly, this rule was reviewed by the Office of Information and Regulatory Affairs within the Office of Management and Budget.

DOE has also reviewed this regulation pursuant to Executive Order 13563, issued on January 18, 2011 (76 FR 3281 (Jan. 21, 2011)). Executive Order 13563 is supplemental to, and explicitly reaffirms the principles, structures, and definitions governing, regulatory review established in Executive Order 12866. To the extent permitted by law, agencies are required by Executive Order 13563 to: (1) Propose or adopt a regulation only upon a reasoned determination that its benefits justify its costs (recognizing that some benefits and costs are difficult to quantify); (2) tailor regulations to impose the least burden on

society, consistent with obtaining regulatory objectives, taking into account, among other things, and to the extent practicable, the costs of cumulative regulations; (3) select, in choosing among alternative regulatory approaches, those approaches that maximize net benefits (including potential economic, environmental, public health and safety, and other advantages; distributive impacts; and equity); (4) to the extent feasible, specify performance objectives, rather than specifying the behavior or manner of compliance that regulated entities must adopt; and (5) identify and assess available alternatives to direct Start Printed Page 53236regulation, including providing economic incentives to encourage the desired behavior, such as user fees or marketable permits, or providing information upon which choices can be made by the public.

DOE emphasizes as well that Executive Order 13563 requires agencies to use the best available techniques to quantify anticipated present and future benefits and costs as accurately as possible. In its guidance, the Office of Information and Regulatory Affairs has emphasized that such techniques may include identifying changing future compliance costs that might result from technological innovation or anticipated behavioral changes. DOE believes that today's Final Rule is consistent with these principles, including the requirement that, to the extent permitted by law, agencies adopt a regulation only upon a reasoned determination that its benefits justify its costs and, in choosing among alternative regulatory approaches, those approaches maximize net benefits.

B. Review Under Executive Order 12988

With respect to the review of existing regulations and the promulgation of new regulations, section 3(a) of Executive Order 12988, "Civil Justice Reform," 61 FR 4729 (February 7, 1996),

imposes on Executive agencies the general duty to adhere to the following requirements: (1) Eliminate drafting errors and ambiguity; (2) write regulations to minimize litigation; and (3) provide a clear legal standard for affected conduct rather than a general standard and promote simplification and burden reduction.

With regard to the review required by section 3(a), section 3(b) of Executive Order 12988 specifically requires that Executive agencies make every reasonable effort to ensure that the regulation: (1) Clearly specifies the preemptive effect, if any; (2) clearly specifies any effect on existing federal law or regulation; (3) provides a clear legal standard for affected conduct while promoting simplification and burden reduction; (4) specifies the retroactive effect, if any; (5) adequately defines key terms; and (6) addresses other important issues affecting clarity and general draftsmanship under any guidelines issued by the Attorney General. Section 3(c) of Executive Order 12988 requires Executive agencies to review regulations in light of applicable standards in section 3(a) and section 3(b) to determine whether they are met or it is unreasonable to meet one or more of them. DOE has completed the required review and determined that, to the extent permitted by law; these regulations meet the relevant standards of Executive Order 12988.

C. Review Under the Regulatory Flexibility Act

The Regulatory Flexibility Act (5 U.S.C. 601 et seq.) requires preparation of a regulatory flexibility analysis for any rule that by law must be proposed for public comment, unless the agency certifies that the rule, if promulgated, will not have a significant economic impact on a substantial number of small entities. This rule will not have a significant impact on small entities as it applies to only for-profit entities (excluding small

non-profits, individuals or other small entities not set up as a for-profit.) This rule also excludes small for-profit entities receiving awards through SBIR and STTR programs from many requirements. Historically the awards made by DOE under Subchapter D are to businesses considered large in their industry or field. Accordingly, DOE certifies that this rule would not have a significant economic impact on a substantial number of small entities, and, therefore, no regulatory flexibility analysis has been prepared.

D. Review Under the Paperwork Reduction Act

This rule would require the preparation and submission of a UCC financing statement for awards where the federal share exceeds $1 million. This collection of information is required for the Department to protect the taxpayers by clarifying the rights to real property and equipment purchased under financial assistance awards.

The collection of information for DOE financial assistance awards has been approved by OMB under control number 1910-0400. Collection of the UCC-1 form is covered by this control number.

E. Review Under the National Environmental Policy Act

DOE has concluded that promulgation of this rule falls into a class of actions which would not individually or cumulatively have significant impact on the human environment, as determined by DOE's regulations (10 CFR part 1021, subpart D) implementing the National Environmental Policy Act (NEPA) of 1969 (42 U.S.C. 4321 et seq.). Specifically, this rule is categorically excluded from NEPA review because the amendments to the

DEAR are strictly procedural (categorical exclusion A6). Therefore, this rule does not require an environmental impact statement or environmental assessment pursuant to NEPA.

F. Review Under Executive Order 13132

Executive Order 13132, 64 FR 43255 (August 4, 1999), imposes certain requirements on agencies formulating and implementing policies or regulations that preempt State law or that have federalism implications. Agencies are required to examine the constitutional and statutory authority supporting any action that would limit the policymaking discretion of the States and carefully assess the necessity for such actions. DOE has examined today's rule and has determined that it does not preempt State law and does not have a substantial direct effect on the States, on the relationship between the national government and the States, or on the distribution of power and responsibilities among the various levels of government. No further action is required by Executive Order 13132.

G. Review Under the Unfunded Mandates Reform Act of 1995

The Unfunded Mandates Reform Act of 1995 (Pub. L. 104-4) generally requires a federal agency to perform a detailed assessment of costs and benefits of any rule imposing a federal Mandate with costs to State, local or tribal governments, or to the private sector, of $100 million or more. This rulemaking does not impose a federal mandate on State, local or tribal governments or on the private sector.

H. Review Under the Treasury and General Government Appropriations Act, 1999

Section 654 of the Treasury and General Government Appropriations Act, 1999 (Pub. L. 105-277), requires federal agencies to issue a Family Policymaking Assessment for any rule or policy that may affect family well-being. This rule will have no impact on family well-being. Accordingly, DOE has concluded that it is not necessary to prepare a Family Policymaking Assessment.

I. Review Under Executive Order 13211

Executive Order 13211, "Actions Concerning Regulations That Significantly Affect Energy Supply, Distribution, or Use", 66 FR 28355 (May 22, 2001), requires federal agencies to prepare and submit to the Office of Information and Regulatory Affairs (OIRA), Office of Management and Budget, a Statement of Energy Effects for any significant energy action. A "significant energy action" is defined as any action by an agency that promulgates or is expected to lead to promulgation of a Final Rule, and that: (1) Is a significant regulatory action under Executive Order 12866, or any Start Printed Page 53237successor order; and (2) is likely to have a significant adverse effect on the supply, distribution, or use of energy, or (3) is designated by the Administrator of OIRA as a significant energy action. For any proposed significant energy action, the agency must give a detailed statement of any adverse effects on energy supply, distribution or use should the proposal be implemented, and of reasonable alternatives to the action and their expected benefits on energy supply, distribution and use. Today's rule is not a significant energy action. Accordingly, DOE has not prepared a Statement of Energy Effects.

J. Review Under the Treasury and General Government Appropriations Act, 2001

The Treasury and General Government Appropriations Act, 2001 (44 U.S.C. 3516, note) provides for agencies to review

most disseminations of information to the public under implementing guidelines established by each agency pursuant to general guidelines issued by OMB. OMB's guidelines were published at 67 FR 8452 (February 22, 2002), and DOE's guidelines were published at 67 FR 62446 (October 7, 2002). DOE has reviewed today's notice under the OMB and DOE guidelines and has concluded that it is consistent with applicable policies in those guidelines.

K. Review Under Executive Order 13609

Executive Order 13609 of May 1, 2012, "Promoting International Regulatory Cooperation," requires that, to the extent permitted by law and consistent with the principles and requirements of Executive Order 13563 and Executive Order 12866, each federal agency shall:

(a) If required to submit a Regulatory Plan pursuant to Executive Order 12866, include in that plan a summary of its international regulatory cooperation activities that are reasonably anticipated to lead to significant regulations, with an explanation of how these activities advance the purposes of Executive Order 13563 and this order.

(b) Ensure that significant regulations that the agency identifies as having significant international impacts are designated as such in the Unified Agenda of federal Regulatory and Deregulatory Actions, on RegInfo.gov, and on Regulations.gov.

(c) In selecting which regulations to include in its retrospective review plan, as required by Executive Order 13563, consider:

(i) Reforms to existing significant regulations that address unnecessary differences in regulatory requirements between the United States and its major trading partners, consistent with section 1 of this order, when stakeholders provide adequate information to the agency establishing that the differences are unnecessary; and

(ii) Such reforms in other circumstances as the agency deems appropriate; and

(d) For significant regulations that the agency identifies as having significant international impacts, consider, to the extent feasible, appropriate, and consistent with law, any regulatory approaches by a foreign government that the United States has agreed to consider under a regulatory cooperation council work plan.

DOE has reviewed this rule under the provisions of Executive Order 13609 and determined that the rule complies with all requirements set forth in the order.

L. Approval by the Office of the Secretary of Energy

The Office of the Secretary of Energy has approved issuance of this rule.

M. Congressional Notification

As required by 5 U.S.C. 801, DOE will report to Congress on the promulgation of this rule prior to its effective date. The report will state that it has been determined that the rule is not a "major rule" as defined by 5 U.S.C. 804(2).

List of Subjects in 2 CFR Part 910

Accounting

Administrative practice and procedure

Grant programs

Reporting and recordkeeping requirements

Issued in Washington, DC, on: August 21, 2015.

Patrick M. Ferraro

Director, Office of Acquisition Management.

Joseph F. Waddell,

Director, Office of Acquisition Management, National Nuclear Security Administration.

For the reasons stated in the preamble, the Department of Energy is amending part 910 of chapter II, title 2 of the Code of federal Regulations to read as follows:

PART 910—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

1.The authority citation for part 910 continues to read as follows:

Authority: 42 U.S.C. 7101 et seq.; 31 U.S.C. 6301-6308; 50 U.S.C. 2401 et seq.; 2 CFR part 200.

2.Revise § 910.360 to read as follows:

§ 910.360Real property and equipment.

(a) Prior approvals for acquisition with federal funds. Recipients may purchase real property or equipment with an acquisition cost per unit of $5,000 or more in whole or in part with federal funds only with the prior written approval of the contracting officer or in accordance with express award terms.

(b) Title. Unless a statute specifically authorizes and the award specifies that title to property vests unconditionally in the recipient, title to real property or equipment vests in the recipient, subject to all terms and conditions of the award and that the recipient shall:

(1) Use the real property or equipment for the authorized purposes of the project until funding for the project ceases, or until the real property or equipment is no longer needed for the purposes of the project, as may be determined by the contracting officer.

(2) Not encumber or permit any encumbrance on the real property or equipment without the prior written approval of the contracting officer.

(3) Use and dispose of the real property or equipment in accordance with paragraphs (e), (f), and (g) of this section; and

(4) Properly record, and consent to the Department's ability to properly record if the recipient fails to do so, UCC financing statement(s) for all equipment purchased with federal funds (Financial assistance awards made under the Small Business Innovation Research/Small

Business Technology Transfer (SBIR/STTR) program are exempt from this requirement unless otherwise specified within the grant agreement); such a filing is required when the federal share of the financial assistance agreement is more than $1,000,000, and the Contracting Officer may require it in his or her discretion when the federal share is less than $1,000,000. These financing statement(s) must be approved in writing by the contracting officer prior to the recording, and they shall provide notice that the recipient's title to all equipment (not real property) purchased with federal funds under the financial assistance agreement is conditional pursuant to the terms of this section, and that the Government retains an undivided reversionary interest in the equipment. The UCC financing statement(s) must be filed before the contracting officer may reimburse the recipient for the federal share of the equipment unless otherwise provided for in the relevant financial assistance agreement. The recipient shall further make any amendments to the financing statements or additional recordings, Start Printed Page 53238including appropriate continuation statements, as necessary or as the contracting officer may direct.

(c) Remedies. If the recipient fails at any time to comply with any of the conditions or requirements of paragraph (b) of this section, then the contracting officer may:

(1) Notify the recipient of noncompliance in accordance with 2 CFR 200.338, which may lead to suspension or termination of the award.

(2) Impose special award conditions pursuant to 2 CFR 200.205 and 200.207 as amended by 2 CFR 910.372.

(3) Issue instructions to the recipient for disposition of the property in accordance with paragraph (g) of this section.

(4) In the case of a failure to properly record UCC financing statement(s) in accordance with paragraph (b)(4) of this section, effect such a recording; and

(5) Apply other remedies that may be legally available.

(d) Title to and federal interest in real property or equipment offered as cost-share. As provided in 2 CFR 200.306(h), depending upon the purpose of the federal award, a recipient may offer the fair market value of real property or equipment that is purchased with recipient's funds or that is donated by a third party to meet a portion of any required cost sharing or matching. If a resulting award includes such property as a portion of the recipient's cost share, the recipient holds conditional title to the property and the Government has an undivided reversionary interest in the share of the property value equal to the federal participation in the project. The property is treated as if it had been acquired in part with federal funds and is subject to the provisions of paragraph (b) of this section and to the provisions of 2 CFR 200.311 and 200.313.

(e) Insurance. Recipients must, at a minimum, provide the equivalent insurance coverage for real property and equipment acquired with federal funds as provided to property owned by the recipient.

(f) Additional uses during and after the project period. Unless a statute and the award terms expressly provide for the vesting of unconditional title to real property or equipment with the recipient, the real property or equipment acquired wholly or in part with federal funds is subject to the following:

(1) During the Project Period, the recipient must make real property and equipment available for use on other projects

or programs, if such other use does not interfere with the work on the project or program for which the real property or equipment was originally acquired. Use of the real property or equipment on other projects is subject to the following order of priority:

(i) Activities sponsored by DOE grants, cooperative agreements, or other assistance awards;

(ii) Activities sponsored by other federal agencies' grants, cooperative agreements, or other assistance awards.

(iii) Activities under federal procurement contracts or activities not sponsored by any federal agency. If so used, use charges must be assessed to those activities. For real property or equipment, the use charges must be at rates equivalent to those for which comparable real property or equipment may be leased.

(2) After federal funding for the project ceases, or if, as may be determined by the contracting officer, the real property or equipment is no longer needed for the purposes of the project, or if the recipient suspends work on the project, the recipient may use the real property or equipment for other projects, if:

(i) There are federally sponsored projects for which the real property or equipment may be used.

(ii) The recipient obtains written approval from the contracting officer to do so. The contracting officer must ensure that there is a formal change of accountability for the real property or equipment to a currently funded federal award; and

(iii) The recipient's use of the real property or equipment for other projects is in the same order of priority as described in paragraph (e)(1) of this section.

(iv) If the only use for the real property or equipment is for projects that have no federal sponsorship, the recipient must

proceed with disposition of the real property or equipment in accordance with paragraph (g) of this section.

(g) Disposition. (1) If, as determined by the contracting officer, an item of real property or equipment is no longer needed for federally sponsored projects, or if the recipient has suspended work on the project, the recipient has the following options:

(i) If the property is equipment with a current per unit fair market value of less than $5,000, it may be retained, sold, or otherwise disposed of with no further obligation to DOE.

(ii) If the property is equipment (rather than real property) and with the written approval of the contracting officer, the recipient may replace it with an item that is needed currently for the project by trading in or selling to offset the costs of the replacement equipment.

(iii) The recipient may elect to retain title, without further obligation to the federal Government, by compensating the federal Government for that percentage of the current fair market value of the real property or equipment that is attributable to the federal participation in the project.

(iv) If the recipient does not elect to retain title to real property or equipment or does not request approval to use equipment as trade-in or offset for replacement equipment, the recipient must request disposition instructions from the responsible agency.

(2) If a recipient requests disposition instructions, the contracting officer must:

(i) For either real property or equipment, issue instructions to the recipient for disposition of the property no later than 120 calendar days after the recipient's request. The

contracting officer's options for disposition are to direct the recipient to:

(A) Transfer title to the real property or equipment to the federal Government or to a third party designated by the contracting officer provided that, in such cases, the recipient is entitled to compensation for its attributable percentage of the current fair market value of the real property or equipment, plus any reasonable shipping or interim storage costs incurred; or

(B) Sell the real property or equipment and pay the federal Government for that percentage of the current fair market value of the property that is attributable to the federal participation in the project (after deducting actual and reasonable selling and fix-up expenses, if any, from the sale proceeds). If the recipient is authorized or required to sell the real property or equipment, the recipient must use competitive procedures that result in the highest practicable return.

(3) If the contracting officer fails to issue disposition instructions within 120 calendar days of the recipient's request, the recipient must dispose of the real property or equipment through the option described in paragraph (g)(2)(i)(B) of this section.

3.Add § 910.364 to subpart D to read as follows:

§ 910.364Reporting on utilization of subject inventions.

(a) Unless otherwise instructed, a recipient that obtains title to an invention made under an award shall submit annual reports on the utilization or efforts to obtain utilization of the invention for at least 10 years from the date the invention was first disclosed to DOE (Utilization Reports). Utilization Start Printed Page 53239Reports shall include at least the following information:

(1) Status of development;

(2) Date of first commercial sale or use;

(3) Gross royalties received by the recipient;

(4) The location of any manufacture of products embodying the subject invention; and

(5) Any such other data and information as DOE may reasonably specify.

(b) To the extent data or information supplied in a Utilization Report is considered by the recipient to be privileged and confidential and is so marked by the recipient, DOE agrees that, to the extent permitted by law, it shall not disclose such information to persons outside the Government.

4. Add § 910.366 to subpart D to read as follows:

§ 910.366 Export Control and U.S. Manufacturing and Competitiveness.

(a) Export Control. Any recipient of any award for research, development and/or demonstration must comply with all applicable U.S. laws regarding export control.

(b) U.S. Manufacturing and Competitiveness. It is the policy of DOE to ensure that DOE-funded research, development, and/or demonstration projects foster domestic manufacturing. Funding opportunity announcements (FOAs), therefore, may require that applicants submit a "U.S. Manufacturing Plan" in their applications. Such FOAs may encourage U.S. Manufacturing Plans to include proposals by recipients and any sub-recipients to manufacture DOE-funded technologies in the United States; however, the FOAs will also state that these plans should not include requirements regarding the source of inputs used during the manufacturing process. Regardless of whether such plans will be part of the merit review criteria or a program policy factor, and to the extent legally permissible, all awards subject to this subpart, including subawards, for research, development, and/or

demonstration, must include a provision that provides plans by the recipient and any subrecipients to support manufacturing in the United States of technology developed under the award. The recipient and any subrecipients must agree to make those plans binding on any assignee or licensee or any entity otherwise acquiring rights to any subject invention or developed technology covered under the award. A recipient, subrecipient, assignee, licensee, or any entity otherwise acquiring the rights to any subject invention or developed technology may request a waiver or modification of U.S. manufacturing plans from DOE. DOE will determine whether to approve such a waiver considering equitable considerations, including, for example, whether the requester satisfactorily shows that the planned support is not economically feasible and whether there is a satisfactory alternative net benefit to the U.S. economy if the requested waiver or modification is approved.

5.Add § 910.368 to subpart D to read as follows:

§ 910.368Change of control.

(a) Change of control is defined as any of the following:

(1) Any event by which any individual or entity other than the recipient becomes the beneficial owner of more than 50% of the total voting power of the voting stock of the recipient.

(2) The recipient merges with or into any entity other than in a transaction in which the shares of the recipient's voting stock are converted into most of the voting stock of the surviving entity.

(3) The sale, lease, or transfer of all or substantially all of the assets of the recipient to any individual or entity other than the recipient in one or a series of related transactions.

(4) The adoption of a plan relating to the liquidation or dissolution of the recipient; or

(5) Where the recipient is a wholly owned subsidiary at the time of award or novation, and the recipient's parent entity undergoes a change of control as defined in this section.

(b) When the federal share of the financial assistance agreement is more than $10,000,000 or DOE requests the information in writing, the recipient must provide the contracting officer with documentation identifying all parties who exercise control in the recipient at the time of award.

(c) When there is a change of control of a recipient, or the recipient has reason to know a change of control is likely, the recipient must notify the contracting officer within 30 days of its knowledge of such change of control. Such notification must include, at a minimum, copies of documents necessary to reflect the transaction that resulted or will result in the change of control, and identification of all entities, individuals, or other parties to such transaction. Failure to notify the contracting officer of a change of control is grounds for suspension or termination of the award for failure to comply with the terms and conditions of the award.

(d) The contracting officer must authorize a change of control for the purposes of the award. Failure to receive the contracting officer's authorization for a change of control may lead to a suspension of the award, termination for failure to

comply with the terms and conditions of the award, or imposition of special award conditions pursuant to 2 CFR 910.372. Special award conditions may include but are not limited to:

(1) Additional reporting requirements related to the change of control; and

(2) Suspension of payments due to the recipient.

6.Add § 910.370 to subpart D to read as follows:

§ 910.370Novation of financial assistance agreements.

(a) Financial assistance agreements are not assignable absent written consent from the contracting officer. At his or her sole discretion, the contracting officer may, through novation, recognize a third party as the successor in interest to a financial assistance agreement if such recognition is in the Government's interest, conforms with all applicable laws and the third party's interest in the agreement arises out of the transfer of:

(1) All of the recipient's assets; or

(2) The entire portion of the assets necessary to perform the project described in the agreement.

(b) When the contracting officer determines that it is not in the Government's interest to consent to the novation of a financial assistance agreement from the original recipient to a third party, the original recipient remains subject to the terms of the financial assistance agreement, and the Department may exercise all legally available remedies under 2 CFR 200.338 through 200.342, or that may be otherwise available, should the original recipient not perform.

(c) The contracting officer may require submission of any documentation in support of a request for novation, including but not limited to documents identified in 48 CFR Subpart 42.12. The

contracting officer may use the format in 48 CFR 42.1204 as guidance for novation agreements identified in paragraph (a) of this section.

7.Add § 910.372 to subpart D to read as follows:

§ 910.372Special award conditions.

(a) In addition to the requirements of 2 CFR 200.205, the following actions may require the use of Specific Conditions as identified in 2 CFR 200.207: Start Printed Page 53240

(1) Has not conformed to the terms and conditions of a previous award.

(2) Has a change of control as defined in § 910.368.

(3) Fails to comply with real property and equipment requirements at § 910.360; or

(4) Is not otherwise responsible.

[FR Doc. 2015-21693 Filed 9-2-15; 8:45 am]

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FOR APPLICANTS

Check Your Eligibility

Are you or your organization eligible for a grant? Learn how to check your eligibility here.

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Workspace Overview »

Track Your Application

Enter your Grants.gov tracking number to follow the progress of up to five applications at a time.

Track Your Application »

Adobe Compatibility

Ensure your Adobe Reader or Acrobat software is compatible with Grants.gov.

Adobe Compatibility Tip Sheet »

Applicant Training

Access training materials, tips and other resources that will help you successfully navigate Grants.gov.

Applicant Training »

Grants.gov Online User Guide »

Applicant FAQs

If you have questions, you are not alone. Here are the answers to frequently asked questions.

Applicant FAQs »

Manage Subscriptions

Subscribe to funding opportunities, saved searches, RSS feeds, and communications.

Sign Up Now »

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How to Apply for Grants: Getting Started

learn about grants.

check grant eligibility.

search for grants

register on Grants.gov.

apply for grants track application submission.

Learn   Check   Search Register Apply   Track

Go to the Grants Learning Center for an overview of grants.

Make sure you are eligible before applying.

Find federal grants that align with your work.

Sign up with Grants.gov to apply using Workspace.

Complete and submit your application using Workspace.

Enter your Grants.gov tracking number(s) for submission status.

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Track and check the status of your submitted applications.

To track Grants.gov submissions, enter up to five Grants.gov tracking numbers, one per line and click the "Track" button. (Example format: GRANT99999999).

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Get Started on Your Workspace Application

Workspace is the standard way for organizations or individuals to apply for federal grants in Grants.gov. Workspace allows a grant team to simultaneously access and edit different forms within an application. Plus, the forms can be filled out online or offline — your choice.

Grants.gov Workspace also allows applicants and organizations to tailor their application workflow. Here are three approaches that applicants can take when completing a Workspace application:

Basic

+ Best for organizations with 1-2 registered Grants.gov users

+ Application forms are downloaded and emailed to collaborators before being uploaded back to the workspace.

Intermediate

+ Best for organizations with 3-5 registered Grants.gov users

+ Applicant teams are typically comprised of an AOR who submits, as well as a Workspace Owner who oversees form completion.

Advanced

+ Best for organizations with external Grants.gov users, such as consultants

+ Workspace Owner manages form access.

+ Workspace Owner adds subforums.

Using Custom Roles in Workspace

Organizations are also able to create custom roles and assign these roles to the users affiliated with their organization.

Resources to Help You Set Up Your Workspace

 Reference the following content when planning out your internal application workflow:

 Workspace Process Timeline

Workspace Workflow

This infographic provides an overview of decision points applicants face when applying with Workspace.

 VIEW INTERACTIVE GRAPHIC >

Workspace Roles and Access

Workspace Roles and Privileges

This resource explains the roles, privileges and access levels that can be used when completing a grant application.

VIEW INFOGRAPHIC >

Video: How to Create a Workspace

BROWSE THE COMPLETE LIST OF TRAINING VIDEOS >

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Step-by-Step: Basic Approach

The following approach is best suited for organizations with one or two registered Grants.gov users. Any unregistered collaborators will need to be given PDF versions of the application forms.

Minimum Required User for Basic Approach

1. Make sure at least one person at your organization is registered and has one of the core AOR roles

Without a Grants.gov account, a team member will not be able to access the workspace and fill out application webforms. In this scenario, at least one registered user should have one of the core AOR roles so that a workspace can be created and an application submitted. If you want additional individuals to help complete webforms, then all these contributors should register a Grants.gov account.

2. Design an internal application workflow that ensures each PDF form is downloaded from the workspace and shared with unregistered team members

Use our interactive workflow graphic to understand, at a high level, the process you will need to follow to complete your application. Not all steps in the workflow will apply to teams of one or two applicants.

3. Log in and create your workspace by clicking on the Apply button on the View Grant Opportunity page of a posted grant announcement

In our scenario, the Standard/Expanded AOR clicks the Apply button and creates the workspace, becoming the Workspace Owner.

4. Download individual PDF forms and distribute them to unregistered team members.

Registered users who have been added as Participants may complete webforms within the workspace. Unregistered applicants on your team will be restricted to completing only the individual PDF forms that are shared with them. Without a Grants.gov account, they will not be able to access the online workspace and its webforms. Want to go deeper? Consider reusing forms from previous workspaces.

5. Upload all completed forms to the workspace and submit the application

Be sure to click the Check for Errors button on the PDF form before uploading it back to the workspace. Workspace performs some error checks on form fields automatically. Other checks are run by clicking the Check Application button within the workspace. At any point after all forms are in the "Passed" status, the Standard/Expanded AOR may click the Sign and Submit button.

6. Track your application and download the submitted application for your offline record-keeping

After submitting, applicants can track the application using the tracking number received from Grants.gov. The Standard/Expanded AOR should download a copy of the submitted application for offline record-keeping and verify the contents of the submission zip file. We recommend tracking and downloading the application via the Details tab of the workspace.

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Step-by-Step: Intermediate Approach

The following approach is best suited for small teams of registered users who want to complete webforms and collaborate online.

Minimum Recommended Users for Intermediate Approach

1. Make sure your team members have registered with Grants.gov

Without a Grants.gov account, a team member will not be able to access the workspace and fill out application webforms. For example, if you want three individuals to help complete webforms, then all three should register a Grants.gov account.

2. Design an internal application workflow and assign responsibilities to your team members

Use our interactive workflow graphic and Workspace roles and access chart to help you design your application plan. For example, in our scenario, you will want one collaborator or "participant" to have the Workspace Manager role, so that he or she can create the workspace. You will also want a participant who has one of the core AOR roles (for example, the Standard AOR role), so that the application can be submitted when it has been completed.

3. Log in and create your workspace by clicking on the Apply button on the View Grant Opportunity page of the grant announcement

Any user with the Workspace Manager role or one of the core AOR roles may create the workspace. The user who creates the workspace will also become the Workspace Owner.

4. Add your team members as "Participants" so they can access the application forms

The Workspace Owner (in our scenario, this is the user with the Workspace Manager role) should add Participants to the workspace. At least one Participant should have one of the core AOR roles so that the application can be submitted.

5. Fill in all required form fields

Applicants may choose to complete either the PDF version or the webform version of each form. They may also switch between form types. Data is synced to the workspace upon uploading the PDF forms and upon saving the webforms. Grants.gov recommends that the person completing each form locks access to it, so that others cannot overwrite the work. Want to go deeper? Consider reusing forms from previous workspaces or managing access to budget forms.

6. When all forms have been completed, the Standard/Expanded AOR can be notified, and the application submitted

Workspace performs some error checks on form fields automatically. Other checks are run by clicking the Check Application button within the workspace. When the application is ready, the Workspace Owner (if he/she does not have one of the core AOR roles) has the option of clicking the Complete and Notify AOR button. However, at any point after all forms are in the "Passed" status, the Standard/Expanded AOR may log in and click the Sign and Submit button.

7. Track your application and download the submitted application for your offline record-keeping

After submitting, the applicants can track the application using the tracking number received from Grants.gov. The Standard/Expanded AOR or Workspace Owner should also download a copy of the submitted application for offline record-keeping and verify the contents of the submission zip file. We recommend tracking and downloading the submitted application via the Details tab of the workspace.

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Step-by-Step: Advanced Approach

The following approach is best suited for larger teams of registered users -- some of whom may be from external organizations, such as consultants, grant writers and sub-applicants.

Minimum Recommended Users for Advanced Approach

1. Make sure all team members and external contributors have registered with Grants.gov

Without a Grants.gov account, team members or external contributors will not be able to access the workspace and fill out application webforms. For example, if you want seven different individuals to help complete webforms, then all seven should register a Grants.gov account.

2. Design an internal application workflow and assign responsibilities to your team members and external contributors

Use our interactive workflow graphic and Workspace roles and access chart to help you design your application plan. For example, in our scenario, you will want at least one "participant" to have the Workspace Manager role, so that he or she can create the workspace. You will also want a participant (associated with the DUNS that owns the workspace) who has one of the core AOR roles, so that the application can be submitted when it has been completed.

3. Log in and create your workspace by clicking on the Apply button on the View Grant Opportunity page of the grant announcement

Any user with the Workspace Manager role or one of the core AOR roles may create the workspace. This user will automatically become the Workspace Owner.

4. Add team members from your organization as "Participants" so they can access the application forms

The Workspace Owner should add Participants to the workspace. At least one Participant should have one of the core AOR roles so that the workspace can be submitted.

5. Add any additional Participants who are registered with Grants.gov, though not part of your organization

The Workspace Owner can add any external contributors to the workspace if they have registered with Grants.gov.

6. Limit budget form access to only the Participants who need it

The Workspace Owner may want to control access to sensitive budget forms. This is most conveniently done when adding individual participants to the workspace.

7. Add subforums to your workspace so that sub-applicants can easily find and complete them

Some workspace forms contain subforums that must be filled out separately from the "parent" form. A Workspace Owner can access and enable a package's subforums by clicking the Go to Subforums button in the Form Name column on the Forms tab of the Manage Workspace page. After adding a subforum, the Workspace Owner may want to change the form access level of any sub-applicants that have been added (or will be added).

8. Reuse forms from previous workspaces

Applicants may choose to reuse forms (or even an entire workspace). When a form is reused, the information on the form's cover sheet will be updated to match the current workspace. Also note, after a form is reused, any data in the new workspace form will be overwritten.

9. Complete all required forms that remain

Applicants may choose to complete either the PDF version or the webform version of each form. They may also switch between form types. Data is synced to the workspace upon uploading the PDF forms and upon saving the webforms. Grants.gov recommends that the person completing each form locks access to it, so that others cannot overwrite the work.

10. When all forms have been completed, the Standard/Expanded AOR can be notified, and the application submitted

Workspace performs some error checks on form fields automatically. Other checks are run by clicking the Check Application button within the workspace. When the application is ready, the Workspace Owner (if he or she does not have either of the core AOR roles) has the option of clicking the Complete and Notify AOR button. However, at any point after all forms are in the "Passed" status, the Standard/Expanded AOR may log in and click the Sign and Submit button.

11. Track your application and download the submitted application for your offline record-keeping

After submitting, applicants can track the application using the tracking number received from Grants.gov. The Standard/Expanded AOR or Workspace Owner should also download a copy of the submitted application for offline record-keeping and verify the contents of the submission zip file. We recommend tracking and downloading the application via the Details tab of the workspace.

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Workspace Process

 General Workflow for Applicant Teams Using Grants.gov Workspace

 This infographic illustrates the primary actions a team of applicants take when applying for a federal grant using Grants.gov Workspace. Click the Help, YouTube, and Roles & Privileges icons (scroll down to see the key) associated with each action to go to a related help article, training video or information page.

Application Workflow for Organizations - Create Your Workspace > Add Your Team Members > Complete Your Forms > Submit Your Application

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Grants.gov Roles & Privileges

When an applicant organization user registers with Grants.gov, the organization E-Business Point of Contact (EBiz POC) -- or a user with the Expanded AOR role -- can assign the user a core role, a custom role, or no role.

Grants.gov Role Types

E-Business Point of Contact EBiz POC Role Icon

The E-Business Point of Contact (EBiz POC) works primarily at the administrative level to (among other tasks) assign roles to organization users once they register with Grants.gov.

Core Roles   Expanded AOR Role Icon   AOR Role Icon   Workspace Manager Role Icon

Users assigned a core role have a specified list of privileges inside Grants.gov. The Expanded AOR role comes with the most privileges, some of which are administrative. The Standard AOR role allows the user to submit the final application, among other things. The Workspace Manager role, meanwhile, is the most

basic core role in Grants.gov. It is the minimum role required to create a workspace and begin work on an application.

Assigning and Using Custom Roles   Custom Role Icon

Users with a custom role can be given any combination of the below privileges. If your organization uses custom roles rather than the core roles in Grants.gov, we encourage you to develop internal training resources based around your custom roles. Why? The Grants.gov Online User Guide uses the core roles (i.e., Workspace Manager, Standard AOR, and Expanded AOR) to explain which users may access and perform actions.

The following table lists the privileges associated with each core role, as well as those associated with the EBiz POC.

Privilege (Click for Details)   Type   EBiz POC Role Icon
        Expanded AOR Role Icon   AOR Role Icon
        Workspace Manager Role Icon

Manage Organization   Expanded   Available to EBiz POC
        Available with Expanded AOR Role

View Organization   Standard   Available with Standard AOR Role

Manage Applicants (All Roles)   Expanded   Available to EBiz POC   Available with Expanded AOR Role

Manage Applicants (Basic Workspace Roles)   Standard   Available with Standard AOR Role

Manage Certificates   Expanded   Available to EBiz POC
          Available with Expanded AOR Role

Create Workspace   Basic   Available with Expanded
AOR Role   Available with Standard AOR Role   Available
with Workspace Manager Role

Own Workspace   Basic   Available with Expanded
AOR Role   Available with Standard AOR Role   Available
with Workspace Manager Role

Manage Participants for Organization Workspaces   Expanded
                Available with Expanded AOR Role

Manage Participants for My Workspaces   Standard
                Available with Standard AOR Role

Participant Activities for Organization Workspaces   Expanded
                Available with Expanded AOR Role

Submit Applications for Organization Workspaces   Expanded
                Available with Expanded AOR Role

Submit Applications for My Workspaces Standard
          Available with Standard AOR Role

Check Application Status for Organization   Expanded
          Available with Expanded AOR Role

Workspace-Level Actions

There are additional actions that can be taken by registered
Grants.gov users within a workspace.

Participants in a Workspace.   Workspace Owner Icon   Workspace
AOR Icon   Workspace Participant Icon

Except for applicants with the Expanded AOR role, users must be added to a workspace (become "participants") to complete workspace-level actions. Generally, workspace participants fall into one of three categories: The Workspace Owner typically serves as an administrator for that Workspace. Any participant with the AOR role can submit the application and is informally called a Workspace AOR. All other non-AOR users added to a workspace are called Workspace Participants; no roles are required to be a Workspace Participant.

The following table lists the actions that each participant type can take within a workspace. Contrast these actions with those available to any user with the Expanded AOR role.

Action in a Workspace	Expanded AOR Role Icon	Workspace Owner Icon	Workspace AOR Icon	Workspace Participant Icon
Add Participants	Action Available to User with Expanded AOR Role	Action Available to Workspace Owner	Action Available to Workspace AOR	
Reassign Ownership	Action Available to User with Expanded AOR Role	Action Available to Workspace Owner	Action Available to Workspace AOR	
Become a Workspace Owner*			Action Available to Workspace AOR	Action Available to a Workspace Participant
Select/Deselect Optional Forms	Action Available to User with Expanded AOR Role	Action Available to Workspace Owner	Action Available to Workspace AOR	Action Available to Workspace Participant

Assign Form-Level Access   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace AOR

Complete Forms   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace AOR   Action Available to Workspace Participant

Lock/Unlock Forms   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace Participant

Override Locks Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace AOR

Check Application   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace AOR   Action Available to Workspace Participant

Complete and Notify AOR**   Action Available to Workspace Owner

Submit Application   Action Available to User with Expanded AOR Role   Action Available to Workspace AOR

Reopen Workspace   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner   Action Available to Workspace AOR

Delete Workspace   Action Available to User with Expanded AOR Role   Action Available to Workspace Owner

* Workspace ownership requires that users/participants have a role with the "Own Workspace" privilege.

** If a Workspace Owner has a "Submit Applications..." privilege, then the Complete and Notify AOR action will not be available to him/her.

Form-Level Access

Form-level access can be assigned at the organization level by the EBiz POC and/or by a user with the Expanded AOR role.

At the workspace level, access to forms can be assigned by a user with the Expanded AOR role, the Workspace Owner, and/or by any participant who has the Standard AOR role.

The following table lists the three form access levels and notes the type of forms that each grants access to.

Form Access Levels	Regular Forms	Regular Subforums	Budget Forms	Budget Subforums
All Forms in a Workspace	Regular Form Icon	Regular Subforum Icon	Budget Form Icon	Budget Subforum Icon
All Non-Budget Forms in a Workspace	Regular Form Icon	Regular Subforum Icon		
Specific Subforums Only		Regular Subforum Icon		Budget Subforum Icon

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Step-by-Step: Custom Approach

The following approach is just one example of how an organization might use a combination of core Grants.gov roles (Expanded AOR, Standard AOR and/or Workspace Manager) and custom roles.

Please note: When using custom roles, organizations should develop internal guidance for their users, as Grants.gov Online User Guide can only consider the system's core user roles.

Example Team with Custom Roles

 Meet the Team

Here is a look at the team in our example scenario:

Expanded AOR (Core Role): An organization executive has the Expanded AOR role, allowing him/her to assign roles, manage organization workspaces and submit applications, among other privileges.

Grant Manager (Custom Role): The "Grant Manager" has privileges allowing him/her to create workspaces for funding opportunities; add and remove participants as needed; manage all organization workspaces; and complete any workspace form. [Custom role privilege(s) assigned: Create Workspace, Own Workspace, Manage Participants for Organization Workspaces; Participant Activities for Organization Workspaces]

Budget Manager (Custom Role): An employee with accounting and HR responsibilities is given the custom role "Budget Manager" with privileges allowing him/her to access any organization workspace and complete any workspace form (including budget forms), as well as to assign Grants.gov roles to users affiliated with the organization. [Custom role privilege(s) assigned: Participant Activities for Organization Workspaces, Manage Applicants – All Roles]

Grant Writer (Custom Role): The "Grant Writer" (an outside consultant) has a privilege allowing him/her to work on forms in

any organization workspace. [Custom role privilege(s) assigned: Submit Applications for Organization Workspaces]

 Example Workflow

1. Make sure all team members and external contributors have registered with Grants.gov

Without a Grants.gov account, team members or external contributors will not be able to access the workspace and fill out application webforms. In our example, all three users to be given custom roles will need to have registered with Grants.gov and must have affiliated a profile with the organization. (Note: Neither an organization profile nor a role is required for a user to be added to a workspace. In this example, for illustrative purposes, we have chosen to include affiliated users with roles.)

2. Design an internal application workflow and assign/create roles as needed

 Use our interactive workflow graphic to help you design your own application workflow. In our example, the user with the Expanded AOR role will create the three custom roles listed above and assign them to the appropriate users. The organization's application workflow (described in detail below) will look something like this: (1) The "Grant Manager" will create a workspace and add the "Budget Manager" and "Grant Writer." (2) All three users will collaborate to complete forms. (3) The executive with the Expanded AOR role will submit the application.

3. Log in and create your workspace on the View Grant Opportunity page of the grant announcement

Any user with the Workspace Manager role (or, in this case, the Create Workspace privilege) may create the workspace. In our example, the "Grant Manager" will create the workspace and also become the Workspace Owner, because he/she also has the Own Workspace privilege.

4. Add team members from your organization as "Participants" so they can access the application forms

The Workspace Owner adds Participants to the workspace. In our example, the "Grant Manager" will add the "Budget Manager" and the "Grant Writer" so they can contribute to forms. The executive with the Expanded AOR role would not need to be added, as he/she can contribute to forms and submit regardless of whether he/she has been added to the workspace as a participant.

5. If applicable, limit budget form access to only the Participants who need it.

The Workspace Owner may want to control access to sensitive budget forms. This is most conveniently done when adding individual participants to the workspace. In our example, all four users have access to budget forms by default because they have one or both of the following privileges: Participant Activities for Organization Workspaces and Submit Applications for Organization Workspaces. (Note: Form-level access can also be controlled at the organization level as a default setting.)

6. Complete all required forms

Applicants may choose to complete either the PDF version or the webform version of each form. They may also switch between form types. Data is synced to the workspace upon uploading the PDF forms and upon saving the webforms. Grants.gov recommends that the person completing each form lock access to it, so that others cannot overwrite the work. This is where participants may also reuse forms from a previous workspace or add subforums. In our example, all three participants can share duties in completing the forms.

7. When all forms have been completed, the AOR can be notified, and the application submitted

Workspace performs some error checks on form fields automatically. Other checks are run by clicking the Check Application button within the workspace. In our example, when the application is ready, the "Grant Manager" will click the Complete and Notify AOR button to notify the organization's user with the Expanded AOR that the application is ready to submit. The executive with the Expanded AOR role will log in, go to the workspace, and then click the Sign and Submit button.

8. Track your application and download the submitted application for your offline record-keeping

After submitting, you can track your application using the tracking number you receive from Grants.gov. You may also want to download a copy of your submitted application for your offline

record-keeping. We recommend tracking and downloading your application via the Details tab of your workspace. In our example, all four users are able to complete these actions.

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Check Your Eligibility

Before beginning the application process, you should make sure you or your organization is eligible to apply for the grant. There are two keys to eligibility:

Registering to apply through Grants.gov.

Understanding legal eligibility per the funding opportunity

Where do you find this information?

Here is a link to the Get Registered section. For the full legal eligibility requirements, you need to carefully read the Application Instructions that are attached to every funding opportunity in Grants.gov. The awarding agencies define eligibility in those instructions, and they may also summarize the eligibility in the Synopsis Details section.

If you do not double check that you are eligible in the Application Instructions, you could waste a lot of time and money completing the application process for a grant you cannot legally receive, regardless of how well you write your application.

Wondering who comes up with the eligibility?

Check out the Grant Eligibility section of Learn Grants for details on how eligibility is defined and what types of funding you or your organization can generally apply for.

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Registering an organization

The instructions below are for new organizations or organizations that have never applied for a federal grant before. Most applicants work for organizations that already completed these steps to do business with the federal government.

Before your organization can apply for a federal grant, there are several steps an organization must complete outside of Grants.gov prior to applying through Grants.gov. An organization is an entity that submits grant applications on behalf of the group, such as a state government, nonprofit organization, or a private business. Once you form a legal entity with a Employer Identification Number (EIN), you are ready to complete the steps below.

Below are the main steps and links to more information to complete this process. The process below can take between three business days and five weeks, so please make sure to begin early. If you do not complete these steps by the submission deadline, you are unlikely to be allowed to apply. Contact the federal agency point of contact listed in the grant opportunity to discuss that agency's policy.

1. Obtain a DUNS Number

How do I get a DUNS number?

Call 1-866-705-5711 or access the Dun & Bradstreet website http://fedgov.dnb.com/webform.Click to View Exit Disclaimer

How long does this step usually take?

1-2 business days

2. Register with SAM

How do I register with the System Award Management (SAM)?

Access https://www.sam.gov and complete the online registration process. You also need the authorizing official of the organization to send a notarized letter to SAM and an EIN.

How long does this step usually take?

After SAM receives the notarized letter, up to 2 weeks (up to 5 more weeks to acquire EIN)

3. Register with Grants.gov

 How do I register a Grants.gov account?

Click the Register link in the top banner and complete the on-screen instructions.

How long does this step usually take?

Same day

NOTE: Passwords expire every 60 days. Accounts inactive for 1 year or more result in removal of all account roles. For more account management information, review the Applicant FAQs.

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Step 1: Obtain a DUNS Number

Obtaining a Data Universal Number System (DUNS) number is the first step in registering as an organization applicant in Grants.gov. The instructions below describe DUNS and walk through the process of acquiring a free DUNS number.

Purpose of DUNS

A DUNS number is a unique nine-character number used to identify your organization. The federal government uses the DUNS number to track how federal money is allocated.

Before Registering for a DUNS Number

Does my organization already have a DUNS number? Most large organizations, libraries, colleges, and research universities already have a DUNS number. You should contact your grant administrator, financial department, chief financial officer, or authorizing official to identify your organization's DUNS number.

How to Register for a DUNS Number

If your organization does not yet have a DUNS number, or no one knows it, visit the Dun & Bradstreet (D&B) website Click to View Exit Disclaimer or call 1-866-705-5711 to register or search for a DUNS number.

Registering for a DUNS number is free of charge, so if you encounter any organizations or websites soliciting a fee or charge to acquire a DUNS number it is likely a scam or fraudulent.

You will need all the information listed below to obtain a DUNS number:

Name of organization

Organization address

Name of the chief executive officer (CEO) or organization owner

Legal structure of the organization (e.g., corporation, partnership, proprietorship)

Year the organization started.

Primary type of business

Total number of employees (full and part-time)

NOTE: At some point, the DUNS Number will be replaced by a "new, non-proprietary identifier" requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is being called the Unique Entity Identifier (UEI), or the Entity ID. Grants.gov has begun preparing for this transition by educating users about the upcoming changes and updating field labels and references to the DUNS Number (the current identifier) within the Grants.gov system. Users should continue using the DUNS Number in UEI fields until further notice. To learn more about SAM's rollout of the UEI, please visit gsa.gov/entityid.

How long does it take to obtain a DUNS number?

Allow up to two business days to obtain a DUNS number, but it can occur in one business day.

Information for Foreign Applicants

If your organization is located outside the United States, you can register for a DUNS number online. To register with D&B, you are not required to obtain a federal Tax Identification Number (TIN), also known as an Employer Identification Number (EIN). When registering, simply leave the TIN/EIN information blank. However, anyone doing business with the federal government generally needs to obtain a TIN/EIN to meet Internal Revenue Service (IRS) tax reporting requirements.

More information for foreign applicants is available in the Grant Eligibility section of Learn Grants. For tax and TIN information, visit the IRS website and search for their most recent guidance for Aliens and International Taxpayers. You may also contact the

Agency Point of Contact listed for the grant opportunity to get more information on a specific grant opportunity.

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Step 2: Register with SAM

Registering with the System for Award Management (SAM) is a required step for your organization to be able to apply for federal grants. The information below describes SAM and explains the free registration process.

Purpose of SAM

SAM is a web-based, government-wide application that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of the contract awards, grants, and electronic payment processes.

Before Registering with SAM

Use the SAM Status Tracker to check your organization's registration status with SAM. You may also contact your grant administrator, financial department, chief financial officer, or authorizing official to identify whether your organization has already registered with SAM. If your organization is already registered, take note of who is listed as the E-Business Point of Contact (EBiz POC).

It is the EBiz POC within your organization who must register your organization with SAM. The EBiz POC is also responsible for approving your Grants.gov roles request.

NOTE: The EBiz POC must renew your organization's SAM registration annually. Updates made in SAM are reflected in Grants.gov the next business day.

How to Register with SAM

To register with SAM, go to the SAM website with the following information:

DUNS number

Taxpayer Identification Number (TIN) or Employment Identification Number (EIN)

When you register a new entity in SAM to do business with the U.S. government, SAM requires a notarized letter stating you are the authorized entity administrator before SAM will activate your entity registration in SAM.gov.

When your organization registers with SAM, you must designate an EBiz POC.

What is an AOR? They are the staff members in your organization who are allowed to submit applications in Grants.gov. For more information on Grants.gov roles, review the Workspace Roles page.

Looking for more detailed assistance or instructions using SAM?

Check out any of the following resources provided by the General Services Administration (GSA) on SAM.gov:

System for Award Management (SAM) System Account User Guide

Federal Support Desk

How long does it take to register with SAM?

Generally, after completing the online registration and sending your notarized letter confirming the entity administrator, it takes up to two weeks to register with SAM, then 1 business day for updates made in SAM to be reflected in Grants.gov. However, your organization must first have an EIN. If your organization does not have an EIN, you should allow an additional 5 weeks to request and obtain an EIN from the IRS.

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Applicant Registration

Before applying for a funding opportunity, you need to register an account with Grants.gov. Whether you are an applicant for an organization or an individual applying for grants on your own, you only need to register one account on Grants.gov. The Grants.gov registration process can be completed in minutes.

Once you have a Grants.gov account, users may add a profile to associate with an applicant organization and use the My Account features to manage one or more profiles within your account. If you already have a Grants.gov account, you do not need to register another account.

After adding a profile, learn about how roles are authorized for profiles and how to track your roles status. Note: If your

organization is new to federal grants or Grants.gov, review the Organization Registration page.

How to Register a Grants.gov Account

Click the Register link in the top-right corner of the Grants.gov banner.

Click the Get Registered Now button on the Register page.

Complete the Contact Information and Account Details sections. All fields with a red asterisk (*) are required.

Email Address - When entering an email address, please keep in mind that all correspondence with Grants.gov will be sent to that email address.

Username - Enter a username to log in to Grants.gov. It may only contain alphanumeric characters, question marks, periods, dashes, underscores, and the @ symbol. Your username cannot contain a space, nor can it only include numbers. Select a username you will remember.

Password - The password you choose must meet the following password requirements:

Must contain at least eight (8) characters.

Must contain at least one (1) uppercase letter (A-Z)

Must contain at least one (1) lower case letter (a-z)

Must contain at least one (1) number (0-9)

Must contain at least one (1) special character (e.g.! @ # $ % ^ & *)

Cannot be the same as the previous six (6) passwords.

Cannot contain dictionary words, names, or your Username.

Select whether to subscribe or unsubscribe from Grants.gov Communications. The Alerts are important messages about time-sensitive or major system changes. The Newsletter features training, system enhancement updates, and other resources to help the federal grants community.

Click the Continue button.

Click the Send Temporary Code button, then access your email account to access the temporary code.

Enter the temporary code you received in the email from Grants.gov into the Temporary Code field and click the Continue button.

Decide if you would like to add a profile to your Grants.gov account or click the Continue button to log in. You need to add a profile to apply. After registering, review the Workspace Overview page to learn how to apply for a grant.

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Add Profile to a Grants.gov Account

After registering an account with Grants.gov, you may choose to add profiles within your account. All Grants.gov users need an account to utilize subscription and application functionality. One account can contain multiple profiles. An account in Grants.gov is defined by your one unique email address, username, and password.

A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant), an individual applicant, or a single federal agency (i.e., for a grantors). If you work for or consult with multiple organizations and have a profile

for each, you may log in to one Grants.gov account to access all your workspaces.

Each profile may have different roles based on which roles have been assigned to you by the organization's point of contact, such as the E-Business Point of Contact (EBiz POC). Note that roles are not applicable to individual applicant profiles.

How to Add a Profile During the Registration Process

Complete the Grants.gov account registration process.

Under the How would you like to proceed? heading, select either the Add Organization Applicant Profile option or the Add Individual Applicant Profile option.

An Organization Applicant Profile is for those of you who contribute to grant applications that are submitted on behalf of an organization, such as an institution of higher learning, nonprofit organization, or state government.

An Individual Applicant Profile is for those who apply for a grant for themselves and not on behalf of an organization. Read more in the Variations for Individual Applicants help article.

Enter the DUNS Number for the organization in the UEI (Unique Entity Identifier) field if you selected the Organization Applicant Profile option. A DUNS Number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B). If you need more information, read the Obtain a DUNS Number page.

Create a profile name that will distinguish this organization profile from any other profiles you may have within your Grants.gov account.

Enter your job title for this organization in the Job Title field.

Click the Save button to complete the profile creation process.

To add a profile to an existing Grants.gov account, refer to the Add Profile help article.

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EBiz POC Authorizes Profile Roles

After you register with Grants.gov and creating an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. Read the Workspace Roles page to learn more about Grants.gov roles.

Purpose of EBiz POC Authorization

Prior to being able to complete or submit application packages on behalf of your organization, your organization's EBiz POC must authorize roles. This safeguards your organization from individuals who may attempt to submit grant application packages without permission.

The EBiz POC is likely to be your organization's chief financial officer or authorizing official, and there can only be one EBiz POC per DUNS number when registering with SAM. If you are not the EBiz POC, then you do not take any actions in this step. You must await approval from the EBiz POC.

How to Authorize Grants.gov Roles (steps for the EBiz POC)

Log in to Grants.gov as an EBiz POC, using your DUNS number and password.

Click the Manage Applicants link, search for the new user, and assign the appropriate roles in Grants.gov. For more detailed instructions, review the Applicant Management help article.

After approval, Grants.gov automatically sends the registered applicant a notification email.

Frequently Asked Questions

How long does it take to authorize roles?

This can be completed on the same day, but it depends on how long it takes the EBiz POC to log in and complete the steps listed above.

Can I be the EBiz POC and an AOR?

Yes, but only with two separate Grants.gov accounts. If you, the EBiz POC, wish to submit applications on behalf of the organization, then you must create a separate Grants.gov account and add a profile with the AOR role. Review the Applicant Registration page to get started.

After creating a separate Grants.gov account, the EBiz POC should follow the How to Authorize Grants.gov Roles instructions described above. The EBiz POC will need to approve their own roles for the new, separate account.

As an applicant with the AOR role, can I request or enable EBiz POC functionality for my account?

The Grants.gov system allows applicants with the Expanded AOR role to access EBiz POC functionality. For more information, please refer to the Applicant Management help article.

Are there any field limitations regarding my contact information?

Yes. There is a 30-character limit on the Authorized Organization Representative (AOR) name field on the SF-424 Signature page. This field is auto populated using your full name (last name and first name combined) from your AOR profile. Please ensure that your name in your login credentials does not exceed 30 characters. You can edit your name in your account by logging in and selecting the My Account link in Grants.gov global banner at the top of the page.

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Track Role Status

After registering with Grants.gov and adding a profile, you may want to check whether roles have been added to your profile. For more information about roles, review the Workspace Roles page.

How to Track Role Status

Log in to Grants.gov.

Click the My Account link in the top banner.

Click the Manage Profiles tab on the My Account page.

Review the Role(s) column in the My Applicant Profile(s) table.

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Training Resources and Videos for Grants.gov

Whether you need a high-level introduction to the Grants.gov application process, or you are looking for a step-by-step explanation of a particular Applicant task, we encourage you to consult the resources on this page.

For more context and general information about the federal grants lifecycle, visit the Grants 101 section under the Learn Grants tab.

Featured Video

How to Create a Workspace

Updated on July 9, 2019

Workspace is Grants.gov shared, online environment to collaboratively complete and submit federal grant applications.

Introduction to Grants.gov Video Series

The Introduction to Grants.gov Video Series covers the complete Grants.gov application process, from registering and creating a Grants.gov account to finding funding opportunities and completing an application package.

How to Register with Grants.gov

Updated on March 21, 2020

Learn how to create a Grants.gov account so you can subscribe to funding opportunity notifications and apply for federal grants using Grants.gov Workspace. This video also explains how to associate a DUNS number with an applicant account. (Note: This is an optional step).

Intro to Grants.gov User Roles

Updated on April 20, 2018

Learn about applicant user roles within the Grants.gov system and how these roles impact the application process.

How to Search for a Federal Grant on Grants.gov

Updated on Nov 20, 2017

Learn about Grants.gov powerful search engine, which allows users to find and apply for federal grants in a variety of ways. This video also shows how registered users can subscribe to opportunity notifications generated from saved search criteria.

What is in a Grant Opportunity on Grants.gov?

Updated on April 27, 2018

Learn about the information that is included with every posting of a federal grant opportunity on Grants.gov.

Intro to Applying on Grants.gov

Updated on April 27, 2018

Learn how easy it is to apply for a federal grant using Grants.gov Workspace. This video serves as an introduction to the apply process.

Learning Workspace Video Series for Organization Applicants

The Learning Workspace Video Series for Organization Applicants provides step-by-step instructions for key actions within a Grants.gov workspace, including creating a workspace, adding participants, and completing forms.

Application Workflow for Organizations

Updated on October 15, 2020

Grants.gov Workspace is a shared, online environment where members of the same organization may simultaneously access and edit different forms within an application. This video highlights the general workflow necessary to apply.

User Roles & Workspace Actions

Updated on April 27, 2018

This video provides organization applicants with an overview of the key roles and access levels that contribute to the Grants.gov workspace workflow.

How to Create a Grants.gov Workspace

Updated on April 20, 2018

This video explains how an applicant user can create a workspace for a specific funding opportunity.

How to Add Participants to a Grants.gov Workspace

Updated on June 29, 2018

This video explains the process of adding users, or Participants, to a workspace so that multiple organization applicants can complete individual package forms.

Completing Forms in a Workspace on Grants.gov

Updated on June 29, 2018

This video explains how federal grant application forms may be filled-out as part of the Grants.gov workspace workflow.

Applying in Grants.gov Workspace

Updated on Oct 20, 2018

This video outlines the process of finalizing a completed application in workspace and submitting it to the grant-making federal agency.

Quick Clicks Video Series for Grants.gov Workspace Users (Organization Applicants)

The Quick Clicks Video Series for Grants.gov Workspace Users features short videos that walk organization applicants through important tasks relating to Grants.gov workspace functionality.

Viewing Form Attachments Within a Workspace

Updated on May 7, 2018

This video in the Quick Clicks series explains how Grants.gov users can view PDF file attachments in their application forms within Workspace.

Contributing to the Discussion Forum

Updated on April 20, 2018

This video in the Quick Clicks series explains how users can access and contribute to the new Grants.gov Discussion Forum.

How to Create Custom Roles

Updated on April 20, 2018

This video in the Quick Clicks series explains how administrative users can create custom roles for use within Grants.gov.

How Do I Add Participants Who Are Outside My Organization?

Updated on June 19, 2017

This video in the Quick Clicks series explains how users of Grants.gov's Workspace can add participants who are not part of their own organization.

Adding Subforums in a Workspace

Updated on April 20, 2018

This video in the Quick Clicks series explains how subforms can be added and managed in Grants.gov Workspace.

How Do I Limit Access to Budget Forms?

Updated on June 19, 2017

This video in the Quick Clicks series explains how access to budget forms can be limited within Grants.gov Workspace.

Accessing Webforms in a Workspace

Updated on May 9, 2018

This video in the Quick Clicks series explains how applicants can view and edit webforms in a Grants.gov workspace.

How Do I Preview Forms in a Federal Grant Application?

Updated on April 27, 2018

This video in the Quick Clicks series explains how applicants can preview the forms in a federal grant application before downloading an application package or registering with Grants.gov.

How Do I Combine My Grants.gov Accounts?

Updated on Aug 20, 2018

This video in the Quick Clicks series explains how applicants can combine their Grants.gov accounts into a single account with multiple profiles.

How Do I Find Federal Grant Forecasts?

Updated on Oct 26, 2016

This video in the Quick Clicks series explains how applicants can locate federal grant forecasts on Grants.gov.

How Do I Reuse Forms in a Workspace?

Updated on June 19, 2017

This video in the Quick Clicks series explains how applicants can save time by reusing forms across multiple workspaces set up by the same organization.

How Do I Reopen a Workspace?

Updated on June 19, 2017

This video in the Quick Clicks series explains how to reopen a Grants.gov workspace after an application has been submitted.

Reassigning Ownership of a Workspace

Updated on October 15, 2020

This video in the Quick Clicks series explains how ownership of a Grants.gov workspace can be reassigned to another workspace Participant.

Why Should I Lock Forms in a Workspace?

Updated on June 19, 2017

This video in the Quick Clicks series highlights the importance of locking forms to protect applicants' ongoing work in a Grants.gov workspace.

How Do I Find Online Help Articles?

Updated on Oct 20, 2018

This video in the Quick Clicks series explains how users of Grants.gov workspace functionality can access context-sensitive help articles.

How Do I View the Grantor Image of My Application?

Updated on Oct 13, 2016

This video in the Quick Clicks series introduces the feature in Grants.gov Workspace that allows applicants to view their application just as the grant-making agency will view it.

How Do I Preview Grantor Validations?

Updated on Oct 13, 2016

This video in the Quick Clicks series introduces the feature in Grants.gov Workspace that allows applicants to check their application against validations in the grant-making agency's system.

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Frequently Asked Questions by Applicants

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Unique Entity Identifier (UEI)

What is a Unique Entity Identifier (UEI)?

A Unique Entity Identifier (UEI) is a unique number assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the federal government. (U.S. General Services Administration)

What is the difference between a "DUNS UEI" and a "SAM UEI" in the System for Award Management (SAM.gov)?

"DUNS UEI" refers to your current 9-digit Data Universal Numbering System (DUNS) Number issued by Dun and Bradstreet. "SAM UEI" refers to your new 12-character unique entity identifier that will be assigned by SAM.gov.

Which UEI should I enter the UEI field on the Grants.gov website and mobile app?

Grants.gov encourages applicants to use their "SAM UEI" after they have been assigned one. Grants.gov also accepts applicants' "DUNS UEI", provided the "DUNS UEI" is available in SAM.

Which UEI should I enter application package forms?

If the field label reads "DUNS", enter your "DUNS UEI". If the field label reads "UEI", enter your "SAM UEI".

Where do I go to learn more about the UEI?

The U.S. General Services Administration Unique Entity Identifier Update page contains the most up-to-date information about the UEI.

Apply using Workspace.

Do I need to register with Grants.gov to apply using Workspace?

Yes, you need one Grants.gov account. If you work with multiple organizations on grant applications, you can create and manage multiple profiles within the same Grants.gov account. For more information, read the My Account help article.

How do I register as a consultant so I can support my clients in Workspace?

Register an account on Grants.gov, then the applicant organization(s) can add you as a participant to their workspace.

Who can create a workspace?

Anyone with the Workspace Manager role can create a workspace. For more information, read the Workspace Roles page.

Who can submit a workspace application? Is there a way to limit submission of the application to one user?

Only users with the Standard Authorized Organization Representative (AOR) role who are added as a Workspace Participant may apply. If your organization uses the Expanded AOR role, then any user with the Expanded AOR role may submit any workspace, even if they are not added as a Workspace Participant.

For more information, read the Workspace Roles Page and the Manage Organization Profile help article.

What happens if a form is not locked, and two people try to fill out a webform or try to work on the same individual PDF form at the same time?

When a Workspace Participant clicks the Webform link to start working on an online form, Grants.gov Workspace automatically locks the form to that user. A different Workspace Participant cannot fill out a webform at the same time.

When two Workspace Participants work on an unlocked PDF form simultaneously, changes to form data will only be captured within the workspace once the PDF form is uploaded. So, the last person to upload the form will overwrite the previous upload—Workspace will prompt you before this happens. However, once a form is locked to a participant, any attempts to upload the form by another user will be blocked by the system.

For more information, read the Fill Out Webforms, Lock Forms, Unlock Forms, Override Locked Forms help articles.

Can I preview my application?

Yes. Go to the View Application tab in Workspace to preview the application forms. Review the View Application Tab help article and Attachments Tab help article for more information.

How long will my submitted application package be retained in the Grants.gov system?

Submitted application packages will be retained for 5 years* after submission and status can be checked using the Track My Application page or the Check Application Status page after logging into Grants.gov. Submitted applications with "Validated", "Received By Agency", or "Agency Tracking Number Assigned" status will be available for download from the Check Application Status page during this time. Workspace submissions can be downloaded from the Details tab of the workspace.

*Note: The application purge period was increased from 180 days to 5 years on October 20, 2015, so all applications submitted on or after April 22, 2015, will be stored for 5 years. All applications submitted before April 22, 2015, have been deleted under the previous 180 day purge period.

How can I verify the contents of my submitted application package?

After submitting the application package through Workspace, applicants should download a copy of the submitted application for offline record-keeping and to verify the contents of the submission zip file. We recommend downloading the submitted application via the Details tab of the workspace and verifying the contents of each file in the zip.

Note: Applicants can download a zip file of applications only when the submitted application is in one of the following statuses: Validated, Received by Agency, or Agency Tracking Number Assigned.

Attachments

What is the attachment file size limit or maximum?

Read the federal award-making agency's application instructions for the file size limit for each grant application package you submit. Grants.gov suggests limiting the file size of the entire grant application package including all the attachments to 200MB.

Why does the federal agency say there are no attachments in my application when I can see attachments in the form?

When completing a PDF form using Adobe software, it is important to only use the Add Attachments buttons in the form to attach a document.

If you use other attachment functions, such as those built into Adobe Reader or the menu bar, this will cause errors in the submission and the attachments will not actually transmit to the federal agency.

Do not use the Adobe attachment functionality. Only use the Add Attachment button within the PDF form.

What type of attachments may be added to an application form?

Each agency has their own restrictions on the type of attachments (e.g., .pdf,.xls,.docx) and file sizes allowed for a particular grant opportunity application package.

If you are adding a video (e.g., .mpeg,.mov), image (e.g., tif., jpg., .png), or audio (e.g., .wav, .aif, .au, etc.) be sure to compress these files for web usage. There are different types of applications and compression methods, so please be sure to check the agency

instructions for guidance on quality, resolution, and bit rate standards they allow for submission.

NOTE: Although Grants.gov does not restrict types of file attachments, if more than one attachment is included in a grant submission and two or more files have the same name, the grant application cannot be processed without manual intervention. To correct this, you should:

Rename attached files with the same name so that no files share the same name.

Reattach the files.

Resubmit the application package.

Are there restrictions on file names for any attachment I include with my application?

Yes, but it can vary per agency and form in the application package.

Review the application instructions provided by the award-making agency for their attachment restrictions.

Review the form instructions you are completing.

If there are no restrictions for file names identified by the agency or in the form, then the file name restrictions are as follows:

Please limit file names to 50 or fewer characters

Please use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period,

parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

NOTE: If these guidelines are not followed, your application may be rejected.

Filling Out Forms

Can I copy and paste information into my Grants.gov application from a Microsoft Word document?

Copying and pasting data into a Grants.gov application form from Word may lead to errors in the Adobe Reader form. If using the copy and paste function, copy the information from a text editor, such as Notepad or TextEdit, which does not have proprietary fonts or special characters.

What kind of information can be entered into form fields within my application?

Grants.gov application packages offer fields to enter a set amount of data. When the limit is reached for a certain field, you will no longer be able to enter data into that field. For every form, there are different limitations to the data that you are allowed to enter (this varies between agency and form). Refer to the agency instructions available for download with the application package for more detail.

Grant.gov is now capable of accepting special characters (UTF-8 character set) within form fields; however, please refer to the

specific agency instructions for guidance regarding the use of special characters.

NOTE: If these guidelines are not followed, your application may be rejected.

How can I find my congressional district code?

To find your congressional district, go to House.gov and search for your Congressional District by entering your zip code + 4. If you do not know your zip code + 4, you may look it up by visiting USPS Look Up Zip Code Click to View Exit Disclaimer page.

The congressional district code should use the 2 character state abbreviation, a hyphen, and then a 3 character district number. For example, CA-005 for California's 5th district or VA-008 for Virginia's 8th district. Use 00-000 for programs or projects outside the US.

Support Center

What supporting details does the Grants.gov Support Center need to help me with my question or issue?

Along with your contact information, please share the following supporting details, as applicable, to help the Grants.gov Support Center provide more efficient and effective assistance:

Funding Opportunity Number (FON) or Package ID

Browser Type and Version number

Operating System Type and Version number

Form Name and Version number

Adobe Reader/Acrobat version number

Exact Error Message if applicable

Grants.gov Username

DUNS Number

Help: Online User Guide

Find registration, search, and application instructions for all users in the Grants.gov Online User Guide.

For detailed applicant information, review the Applicants section of the online user guide.

Help: Support Center

Contact the Grants.gov Support Center to get help from a representative.

Email us at support@grants.gov or visit our Support page.

Account Registration

What should I do if I receive the message "Email Already Exists in System" and I am unable to register?

If you receive the message "Email Already Exists in System," your email address has already been used to register. Go to the Login page and use the Forgot My Username function to retrieve the username associated with your email address.

What is a profile?

A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant), an individual applicant, or a single federal agency (i.e., for grantors). If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all your workspaces. Read the Add Profile to a Grants.gov Account page.

What are the Grants.gov password requirements?

Must contain at least eight (8) characters.

Must contain at least one (1) uppercase letter (A-Z)

Must contain at least one (1) lower case letter (a-z)

Must contain at least one (1) number (0-9)

Must contain at least one (1) special character (e.g.! @ # $ % ^ & *)

Cannot be the same as the previous six (6) passwords.

Cannot contain dictionary words, names, or your Username.

Login Troubleshooting

Why am I being locked out from logging in?

For your security, Grants.gov sets a system lockout on your account if it recognizes actions that appear to be a remote attempt to hack into your account. After three (3) consecutive failed attempts at login over a period of 5 minutes, accounts are locked for 15 minutes.

How do I log in after being locked out?

If you have a username and password, wait 15 minutes before taking any action on the login page. After 15 minutes, your correct username and password will allow you to log in.

If you do not want to wait 15 minutes to unlock your account, click "Forgot My Password/Unlock My Account".

How do I retrieve a forgotten username?

To retrieve the username associated with your email address:

Click the Login link in the upper-right corner of the Grants.gov banner.

Click the Forgot My Username link that is located beneath the Username and Password fields.

Enter your email address associated with this Grants.gov account in the Email Address field.

Click the Submit button. An email will be sent with your Grants.gov username to the email address you entered. Use this username to log in to Grants.gov.

I forgot my password. How do I reset my password?

To reset the password associated with your account:

Click the Login link in the upper-right corner of the Grants.gov banner.

Click the Forgot My Password/Unlock My Account link that is located beneath the Username and Password fields.

Enter your username in the Username field.

Enter the email address associated with your username in the Email Address field.

Select how you want to receive the temporary code (via email or mobile phone) to reset your password. Users who have not added mobile number to their account profile will not see this option and will automatically receive the temporary code via their account email address.

Click the Continue button.

Enter the Temporary Code that was sent to the email address or mobile phone number associated with your account, then click Continue. (Note: If you do not receive the code, click the Resend Temporary Code button.)

Enter your new password and confirm it was entered correctly by re-typing it into the New Password Confirm field.

Click the Submit button to complete the password reset process.

If you do not receive an email with a temporary code from Grants.gov, please call Grants.gov Support at 1-800-518-4726, or send an email to support@grants.gov.

Password Expiration

How long are passwords valid?

Passwords are valid for 60 days and will not be valid on the 61st day onward.

How do I log in after my password expires?

If you always login to Grants.gov using an alternate method (such as Login.gov), you may disregard password expiration notices. At any point when you attempt to log into Grants.gov with your expired password, you will be prompted to reset the expired password.

To reset an expired password:

Login to Grants.gov using your username and password. If your password is expired, you will be directed to the Reset Password page.

Enter your old password and a new password based on the requirements listed on the Reset Password page.

Click the Submit button. You will receive an email notification of your password reset.

Account Deactivation

Why has my Grants.gov account been deactivated?

Your Grants.gov account is automatically deactivated after 365 days of inactivity (i.e., not logging in for a year). Grants.gov automatically sends you four separate warning emails, one per week for the four weeks immediately preceding your deactivation.

If your account is deactivated, you will lose all roles in Grants.gov. Roles are not applicable to EBiz POCs and individual applicant

profiles, but their account will also be deactivated after inactivity for 365 days.

What do I do after my Grants.gov account is deactivated for inactivity?

If your account is deactivated, you must log in and change your password to re-activate your account. If you do not remember your password, then click the Forgot My Password/Unlock My Account link and follow the on-screen instructions.

The next steps depend on your account type:

EBiz POC – No additional steps after logging in and resetting password.

Individual Profiles – No additional steps after logging in and resetting password.

Organization Profiles – By re-activating your account, Grants.gov automatically emails your organization's EBiz POC to assign roles in Grants.gov. You may also want to communicate with your organization's EBiz POC outside of Grants.gov to ensure your roles are reassigned.

Grantor – After re-activating your account, you need to communicate with someone within your grant-making agency with the Manage Agencies role, requesting that they reassign roles to your profile Grants.gov.

Web Browsers

Which web browsers are supported by Grants.gov?

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below.

Which security protocols does my web browser need to support to access Grants.gov?

Your web browser must support at least one of the following: Transport Layer Security (TLS) version 1.0, 1.1, or 1.2. Note: TLS 1.0 and 1.1 are disabled in the Training environment and will be disabled in the Production environment in the future. Read the Grants.gov Notices page for more information.

Secure Sockets Layer (SSL) versions 2 and 3 are not supported.

When using the Workspace online webforms in Safari, when I click on the View Attachments button nothing happens?

The Safari browser blocks pop-up windows by default. You will need to allow pop-up windows to view attachments in Workspace online webforms.

How to Disable a Pop-Up Blocker: Safari for Mac

Open Safari.

In the top left of the window, click Safari.

Click Preferences in the drop-down menu.

Click the Security tab found on the top row.

Under Web content, uncheck Block pop-up windows.

How do I clear my browser cache?

The cache refers to the Temporary Internet Files folder which contains a record of the items you have seen, heard, or downloaded from the web, including images, sounds and web pages.

Below are links to instructions on how to clear your browser cache:

Microsoft Internet Explorer (IE) Click to View Exit Disclaimer

Mozilla Firefox Click to View Exit Disclaimer

Google Chrome Click to View Exit Disclaimer

Apple Safari Click to View Exit Disclaimer

Antivirus Best Practices for Grants.gov

How can I prevent a virus from infecting my computer or system?

Grants.gov checks for viruses when a file is uploaded, but it is the users' responsibility to make sure they do a virus check on their end when downloading to help protect against zero-day attacks. A zero-day attack is an attack on a computer system that exploits a

previously unknown vulnerability that the vendor has not had time to address and patch.

Users are encouraged to do the following when downloading and uploading files with Grants.gov:

Ensure virus protection software (with the latest signature updates) is installed and running on the system/network being used to perform actions within Grants.gov Workspace.

Perform a scan for viruses locally prior to uploading files or data packages to Grants.gov Workspace.

Download Grants.gov Workspace data to a temporary folder and perform a scan for viruses prior to opening files or data packages.

Report suspicious files or activity immediately to the Grants.gov Support Center at 1-800-518-4726 or support@grants.gov

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Adobe Acrobat Reader Software Tip Sheet

Grants.gov recommends using Adobe Acrobat Reader for Windows or MAC OS. Learn more about Adobe software compatibility with Grants.gov and ensure that your version of Adobe Acrobat Reader can be used to download, complete, and submit grant applications.

Note: Adobe Reader version 9.x is no longer compatible for use with Grants.gov Workspace PDF forms.

Verify the Compatibility of Your Adobe Acrobat Reader Software

To verify if you have a compatible version of Adobe Acrobat Reader installed, click on the following test Workspace PDF form link:

VERIFY ADOBE VERSIONING TEST WORKSPACE PDF FORM

Compatible Adobe Acrobat Reader Versions:

If you can see the test Workspace PDF form, you are able to use Workspace PDF forms to complete and submit grant applications on Grants.gov. Grants.gov is compatible with the following Adobe Acrobat Reader versions:

Adobe Acrobat Reader DC (Continuous) version 2015.010.20060 or later

Adobe Acrobat Reader DC (Classic) version 2015.006.30121 or later

Adobe Reader version 11.x

Adobe Reader version 10.x

Troubleshooting Tips:

If you are unable to open the test Workspace PDF form, it may be due to the following:

You are not running a supported version of Adobe Acrobat Reader. Check the version number of your Adobe Acrobat Reader software.

Your browser settings are keeping you from opening the test package. A quick solution is to save the test Workspace PDF form to your desktop (by right-clicking on the link) and open it separately.

Alternatively, you may fill in Workspace forms using the online forms feature.

About Adobe Acrobat Reader Software

Adobe Acrobat Reader is free desktop software developed by Adobe, a private software company. Adobe continuously provides new versions of the application to include product and/or security updates, so Adobe strongly recommends using the latest versions.

Note: Grants.gov may not be able to fully test the most recent version(s). Users are urged to verify their Adobe Acrobat Reader software's compatibility by using the test Workspace PDF form link above.

How to download the latest Adobe Acrobat Reader version

Go to https://get.adobe.com/reader Click to View Exit Disclaimer

Download installation file and install.

In the Adobe Acrobat Reader menu, click Edit, click Preferences, under Categories select General, uncheck the option Show online storage when saving files, and click the OK button.

Applicants should be able to successfully complete their Workspace PDF forms without issue.

How to Check for Updates to download and install the latest Adobe Acrobat Reader patch version:

In the Adobe Acrobat Reader menu, select Help menu, select Check for Updates, click the Download button, and then click the Install button.

Additionally, in the Adobe Acrobat Reader menu, click Edit, click Preferences, under Categories select General, uncheck the option Show online storage when saving files, and click the OK button.

Applicants should be able to successfully complete their Workspace PDF forms without issue.

How to check the version of Adobe Acrobat Reader:

In the Adobe Acrobat Reader menu, select Help menu, and select About Adobe Acrobat Reader.

The Adobe Acrobat Reader version information will be displayed in a pop-up window.

Click in the pop-up window to close it.

For assistance with viewing PDFs in your web browser, review the following help articles from Adobe:

Quick Fix: Open PDF directly in Reader or Acrobat by saving file to desktop Click to View Exit Disclaimer.

How to configure browser to use Adobe PDF plug-in to open online PDF files for Firefox, Chrome, and Safari Click to View Exit Disclaimer.

How to make Acrobat Reader the default PDF owner on Windows Click to View Exit Disclaimer.

Adobe Acrobat Reader vs. Adobe Acrobat Standard/Professional

Adobe Acrobat Standard/Professional (Version 10 or later) may be used in place of Adobe Acrobat Reader when completing Workspace PDF forms on Grants.gov. However, only the free Adobe Acrobat Reader software is needed.

Multiple Users Completing a Workspace PDF Form

If more than one person is filling out a Workspace PDF form, Grants.gov recommends that the same version of Adobe Acrobat Reader software be used by each person to avoid version compatibility issues. Check the version number of the Adobe Acrobat Reader software on each user's computer to make sure the versions match. Using different versions of Adobe Acrobat Reader may cause submission and/or save errors – even if each version is individually compatible with Grants.gov.

Security Settings

Security settings on your local network or computer could impact your use of Adobe Acrobat Reader. Please consider the following:

If you receive a security message when trying to download a new version of Adobe Acrobat Reader, your computer's settings may not permit you to download and install new software. For help with such an issue, you should contact your network administrator.

If you receive a security risk notice when trying to upload or view a PDF form, you might be prompted to "trust" the file.

To trust PDF files in Adobe Acrobat Reader:

Click on Edit.

Then click on Preferences.

Then click on Security (Enhanced).

Under Privileged Locations, click on Add Folder Path.

Browse to the folder containing your application files and click on OK.

The specified folder is now trusted by Adobe security settings.

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Special Characters in Submissions

Grants.gov is configured to receive and transfer all UTF-8 characters, which includes those characters commonly referred to as "special characters." Examples of special characters include the tilde (~), letters with accent marks (á), and Greek letters (µ). Grants.gov will receive and transfer all UTF-8 characters as they are entered into Grants.gov via:

(1)   PDF and S2S submissions

(2)   User interface (UI) entry

(3)   System-to-system (S2S) connection

NOTE: Grants.gov does not accept all UTF-8 special characters in file attachment names. For more details, see the section below: What are the special character restrictions on file names for attachments included in application packages?

Why does this matter for Applicants?

Applicants are able to enter all special characters from the UTF-8-character set when submitting applications and information to Grants.gov. However, if the grantor's system is not yet compatible with these special characters, the grantor system may produce

garbled or missing text in the application. As a result, the application may be rejected.

Applicants should also identify whether the system they use to apply to Grants.gov is compatible with special characters in the UTF-8-character set. If the applicant system is not compatible, but the applicant still enters special characters, then Grants.gov may receive garbled or missing data which will be transferred to the grantor.

Applicant Actions:

• Read all the instructions provided by the grantor, which may include instructions not to use certain special characters.

• Check your grant application systems for compatibility with special characters in the UTF-8-character set, if applicable.

Why does this matter for Grantors?

Grants.gov will transfer the special characters in an application exactly as received. However, if the grantor's systems, including S2S, are not compatible with the entire UTF-8-character set, then the grantor systems will not be able to read the special characters. The result may be garbled or missing data in applications.

Grantor Actions:

• Upgrade your system to accept special characters in the UTF-8-character set.

• Include instructions to applicants which special characters cannot be submitted in applications.

Special Character Impact Summary Table

Applicant UTF-8 Compatibility

Grantor UTF-8 Compatibility

Applicant Impact

Grantor Impact

PDF Applicant using UTF-8 Compatible Package

Grantor uses Grants.gov UI.

Grantor S2S with grantor system UTF-8 compatible

In most cases, grantors will view the application as submitted by the applicant including special characters.

Until grantors install Adobe Reader add-on font packages, certain Asian and Middle Eastern characters may not be visible to grantors.

If applicants use certain Asian and Middle Eastern characters, grantors may be prompted to download and install an Adobe Reader add-on font package.

Agency-wide security settings often prevent users from installing the required Adobe Reader add-on.

Grantor S2S with grantor system not UTF-8 compatible

Applicant submissions with special characters should no longer be rejected by Grants.gov but may be rejected by the grantors due to the inability of the grantor system to process the full UTF-8-character set.

Grantors are unlikely to view special characters in the submitted application.

Grantors are likely to experience current Grant.gov incompatibility issues including garbled characters and rejections due to incorrect hash values and field lengths exceeded.

Additional unpredictable outcomes may also be experienced by the grantor systems while processing special characters.

Grantors may need to update application instructions to explicitly state applicants should not use special characters in their grant applications.

Applicant S2S with applicant system not UTF-8 Compatible

Grantor uses Grants.gov UI.

Grantor S2S with grantor system UTF-8 compatible

Grantor S2S with grantor system not UTF-8 compatible

Grants.gov and the grantor systems will receive and process the application as submitted by the Applicant system. However, special characters in the UTF-8 character set not supported by the applicant system will not be sent to Grants.gov or the grantors.

None

Applicant S2S with applicant system UTF-8 Compatible

Grantor uses Grants.gov UI.

Grantor S2S with grantor system UTF-8 compatible

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Additional unpredictable outcomes may also be experienced by the grantor systems while processing special characters.

Grantors may need to update application instructions to explicitly state applicants should not use special characters in their grant applications.

What are the special character restrictions on file names for attachments included in application packages?

Review the application instructions provided by the award-making agency for their attachment restrictions. You should also review the instructions on the form you are completing.

If there are no restrictions for file names identified by the agency or in the form, then the file name restrictions are as follows:

Please limit file names to 50 or fewer characters

Do not attach any documents with the same name. All attachments should have a unique name.

Please use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

NOTE: All applicants MUST follow the guidance on file naming conventions.

We are seeing issues (i.e., "java.lang.Exception: 16 errors") when submissions are not following the filename restrictions.

Below are two examples where the system returned "error 16" when an applicant used an incorrect filename:

EXAMPLE 1

[2009-02-11 11:17:46,610]
[FATAL][GrantS2SFacade.submitApplication()1377]-Couldn't completely receive Submission due to unknown Exception. Throwing Exception to WS Implementation

org.dom4j.InvalidXPathException: Invalid XPath expression: //att:FileLocation[@att:href='D'ASSORO+BCRT+2002_FTLUII5NT7 7KT4IQDKQGDQBAD6.pdf'] Expected:]

java.lang.Exception: 16

EXAMPLE 2

//att:FileLocation[@att:href='cid:GP_Candidate's_Background.pdf]

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Encountering Error Messages

This page explains common error messages encountered by applicants while completing or applying package. Many errors are a result of Adobe Software Compatibility issues. At any time, applicants may call or email the Grants.gov Support Center at 1-800-518-4726 or support@grants.gov for assistance with resolving these issues.

Adobe Compatibility Error Messages

Incompatible Version of Adobe

Schema Validation Error

File Damaged and Cannot Be Repaired

Error: org.xml.sax.SAXParseException

You received one of these error messages because your application package or form was opened, edited, submitted, or corrupted by using a version of Adobe Reader that is incompatible with Grants.gov. All edits made to an Adobe Reader application package or form must be made with a compatible version of Adobe Reader. To resolve these issues, a new application package needs to be downloaded and completed using only a compatible version of the software. Refer to the Adobe Software Compatibility page for more information.

An Error Occurred During File Transmission

This error message means that you are experiencing network connectivity issues, or the network is slow. The file that you are attempting to upload is not being fully transmitted to Grants.gov. It is recommended that you check your internet connection or contact your IT support staff to check on your network connectivity and then try again.

VIRUSDETECT - Check Attachment Name

If you are receiving an error message for an Adobe Reader package that states VIRUSDETECT, please follow these guidelines to resolve the issue:

Use a virus protect program to run a virus scan on your entire application package. This will ensure that your package is completely free of viruses before resubmission.

Check the length of your file attachment names. File attachment names longer than approximately 50 characters can cause problems processing packages.

Avoid using any special characters (example: -,&,*,%,/,#) or spacing in the file names. If you need spaces in the name of your files, use the underscore (example: my_Attached_File.pdf) in naming the attachments.

If you still receive the error message, call, or email the Grants.gov Support Center.

Intake Servlet Is Unable to Save The Data. Broken Pipe

If you receive the "Broken Pipe" message, this means there were intermittent interruptions during your submission. As a result, the submission confirmation page did not display properly after you submitted your application package. Although you may receive this error message, your submission may have been properly received by Grants.gov. However, this message prevents you from automatically receiving a Grants.gov tracking number for your application.

To ensure that your application package was received properly by Grants.gov you have three options:

Visit the "Track Your Package" section to login into the Grants.gov system and view your submitted applications. If you do not see your submitted application listed, follow the instructions in Option 2 below.

Open an internet browser window (ex: Internet Explorer) and resubmit your application package as normal. If you still do not receive the confirmation page after you resubmit your application package, contact the Grants.gov Support Center (see Option 3 below).

Call or email the Grants.gov Support Center to verify that your submission was received by Grants.gov and to receive a tracking number for your application package.

Failed to Update Grant Application XML's LOB::Failed to Update Grant Application XML's LOB

Grants.gov does not automatically reprocess applications that receive this error message. Applicants are advised to call or email the Grants.gov Support Center to have the application package manually reprocessed.

Could Not Invoke Service. Nested Exception

When receiving this error message, the grant application submission will be automatically reprocessed by the system. Your application package will either be successfully validated, or it will be rejected with valid errors. You can periodically check the status of your submission by using the Check Application Status option under the Applicant Login: https://www.grants.gov/web/grants/applicants/track-my-application.html . Reprocessed applications retain their original receipt times.

ERROR 404 ("Page Not Found")

Error 404 is a general HTTP status code which means the Internet browser was unable to communicate with the server. Either the

server could not find the requested page, or the server configuration was set not to reveal the reason for the error. To resolve this issue, you may contact your network provider to disable your web caching for the Grants.gov domain or you may use the steps below to update your network settings:

Using Internet Explorer, select tools and internet options.

Click the Advanced Tab

This gives you the option to click default settings.

Select HTTP 1.1 through proxy connections (make sure that this box is not

checked)

The Box for HTTP 1.1 should be checked.

Go back to www.Grants.gov and see if you can access the site.

ERROR 500 ("500: Internal Server Error" / "HTTP Error 500 - Internal Server Error" / "500 Error")

Error 500 is a very general HTTP status code which means there was an issue with the website's server. Most of the time the error is temporary, so you may try refreshing the website to resolve the issue. If the issue occurs during login, close your Internet browser window, and log in to Grants.gov again.

Failed to Save Attachment

If you are receiving this error message, check that you have properly saved all your application package's supporting documents. Failure to do so will result in the package not being properly transmitted to Grants.gov.

"[Attachment href="SF424_P2.optionalFile3"] to database!::Failed to Save Attachment [Attachment href="SF424_P2"

Closing Date of the Grant Opportunity Passed

The deadline has passed for the opportunity for which you have applied, and the grantor agency is no longer accepting applications.

Mandatory Forms Not Found

If you receive an error message like the error message below, you may not have completed all mandatory forms associated with your specific application package. Double check that all mandatory forms and fields are complete in your application package and resubmit.

"The following mandatory forms were not found in the submitted forms: Attachments-V1.1"

Authorized Organization Representatives Only

If you have received an error message concerning your AOR status, your Grants.gov username may not be authorized to submit applications on behalf of your organization. Check your registration status by logging into Grants.gov or contacting your E-Business Point of Contact (POC). Review the information on Grants.gov roles and privileges.

Rejected With Errors and Conflicting Notifications

If you received conflicting email notifications after applying in Grants.gov, please check whether the following occurred:

Applicant receives the Grants.gov Submission Receipt e-mail

Applicant then receives a Grants.gov Rejection Notice for application with a list of errors.

Applicant then receives the Grants.gov Submission Validation Receipt email notification.

Applicants are receiving the third validation email without correcting any errors listed in the second Rejection Notice e-mail because the Grants.gov system is automatically reprocessing the applications. Upon reprocessing, if there are no errors identified, then the application package is successfully validated, and the applicant correctly receives the third Validation Receipt e-mail.

The applications that are reprocessed and successfully received into the Grants.gov system is forwarded to the agencies for retrieval. If the above occurs with your application, please call, or email the Grants.gov Support Center to secure a case number and to ensure your application was received.

Special Characters & File Attachment Length

If you are receiving the following error message after attempting to submit your application package, please refer to the Submitting UTF-8 Special Characters page for assistance.

"Please use only the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, equal sign, and limit the file name to 50 or fewer characters. Attachments that do

not follow this rule may cause the entire application to be rejected or cause issues during processing."

Blank Spaces in Application File Fields

If you are receiving the following error message after attempting to submit your application package, open your application attachments and verify that no empty spaces are left within the form fields. Use the backspace key on your keyboard to remove any spaces and resubmit as usual.

Default Validation Handler found problems cvcminLength.valid: Value length "with=

"0" is not facet.valid with..."

The wealth of information compiled into this has really help me understand the ins and outs. I wish I read it before I applied, it would have saved many hours, days of hard work. Hine site is more than 50 50 it is like 90 10 here. It too can help you also.

I will have to make change to the class to fiction the name implies Grants made easy, even though I tried, do not think I succeeded but I do think it may be helpful.

Good luck.

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