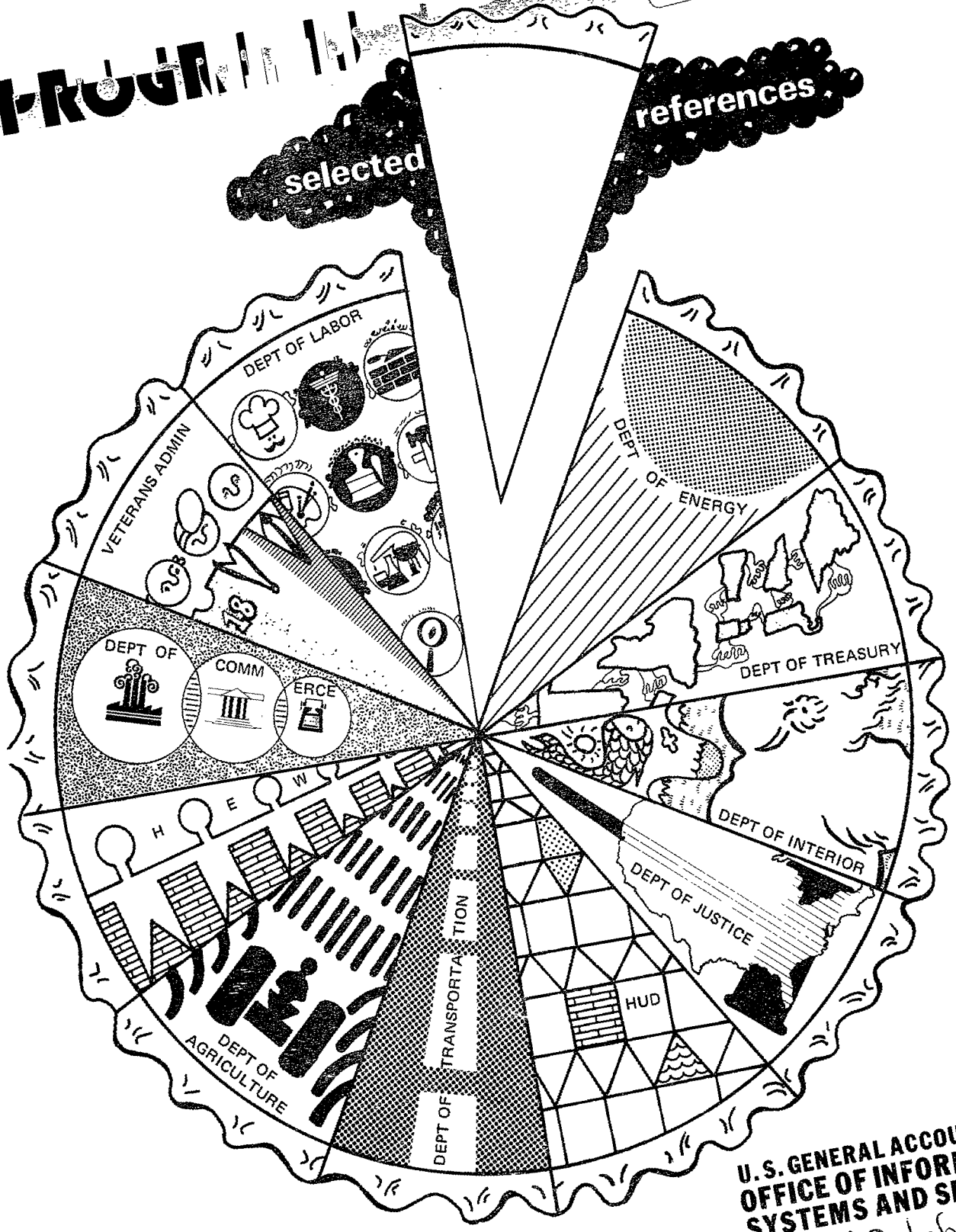




**PROGRAM**

**selected**

**references**



**U. S. GENERAL ACCOUNTING OFFICE  
OFFICE OF INFORMATION  
SYSTEMS AND SERVICES  
1980 (October)**

012617

FEDERAL GRANTS-IN-AID PROGRAMS

AN ANNOTATED BIBLIOGRAPHY

U.S. GENERAL ACCOUNTING OFFICE

OFFICE OF INFORMATION SYSTEMS AND SERVICES  
TECHNICAL INFORMATION SOURCES AND SERVICES BRANCH  
LAW LIBRARY SECTION

*October* 1980

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LOCATION OF CITED MATERIAL

Most of the material listed can be located in the Law Library and the Audit Reference Services Sections of the Office of Information Systems and Services, U.S. General Accounting Office. Material not owned may be obtained by library staff members from other libraries through the interlibrary loan process.

Law Library - Room 7056

Audit Reference Services - Room 6536

## INTRODUCTION

The material in this bibliography of selected references on Federal Grants-In-Aid programs is intended to create an awareness concerning the administration of the programs at the Federal, State and local level. The Congress appropriates a vast amount of money each year, and delegates it to the Government agencies that are endowed with authority to disburse and administer the funds to the States and their local counterparts according to their needs and requests.

### Terminology

The terms most frequently discussed and used in the Federal funding process are listed below and defined according to their various characteristics.

1. Categorical Grants - Categorical grants provide Federal funds for specifically defined categories, such as roads or hospitals. There are additional subcategories of this type including matching, no matching, closed-end and opened-end.
2. Block Grants - Block grants require recipients to present a plan for a package of projects, such as housing, mass transit, and sewage facilities in a community. This type of grant requires that funds be used for those community related projects in accordance with the approved plan. However, block grants supposedly allow greater flexibility than categorical grants within project categories.
3. Revenue Sharing - Revenue sharing, the most recent and the least restrictive of the grant-in-aid programs, allocates Federal money to the State and local governments with fewer administrative requirements and controls, as compared with other forms of Federal domestic aid.

I. REFERENCE MATERIALS

Annual Register of Grant Support, 1975- . Chicago:  
Marquis Academic Media, 1975- .

"This publication presents details of grant support programs of government agencies, public and private foundations, business and industrial firms, unions, educational and professional associations and special-interest organizations."

AS911 .A2A67 1977/78 Ref.  
Audit Reference Services

The Encyclopedia of U.S. Government Benefits: A Complete, Practical, and Convenient Guide to United States Government Benefits Available to the People of America. New York: Avon, 1975.

A complete and practical guide presented in easy-to-use form. A reference work including all the services and benefits provided by the government. Will help individuals to find answers to many questions on the availability of the many programs.

HJ275 .E5 1975 Ref.  
Audit Reference Services

Commerce Clearing House. Federal Audit Guides. 3 vols.  
Washington, D.C.: Commerce Clearing House, 1978-  
. Loose-leaf.

Designed to assist State and local government auditors and independent public accountants in understanding the special requirements for external audit coverage of various recipients of Federally assisted programs. Reporter is arranged for easy use.

Includes detailed table of contents, list of abbreviations, topical index, and updated with timely reports.

KF6233.4 .F4  
Law Library

Federal Grants Information Center. Federal Grants Reporter.  
2 vols. Washington, D.C., 1976-1978. Loose-leaf.

Ceased publication in 1978. Replaced by Grants Management Advisory Service's Federal Grants Management Handbook.

KF6733 .A6F4  
Law Library

Grants Management Advisory Service. Federal Grants Management Handbook. Washington, D.C.: Grants Management Advisory Service, 1978- .

Replaces the Federal Grants Reporter, and is considered to be more helpful in special problem areas, such as how to obtain a Federal grant, deal with "strings attached," comply with regulations, and handle disputes. Monthly updates, inquiry service at no additional charge. Includes index and cross-references. Provides much other useful information.

KF6733 .A6F42 1978  
Law Library

U.S. Community Services Administration. Federal Outlays: A Report of the Federal Government's Impact by State, County, and Large City. Washington, D.C.: Community Services Administration, 1969/1970- Annual.

Prepared for the Executive Office of the President. Reports on geographic distribution of Federal funds

by agency, program, and indirect Federal support for every county, State, and city where population exceeds 25,000. User guide to aid in indexing receivers and determining how funds are administered.

HC110 .P63A55  
Audit Reference Services

U.S. General Accounting Office. Program Analysis Division. Federal Program Evaluation: a Directory for the Congress. Washington, D.C.: GPO, 1976- .  
Congressional Sourcebook Series.

A directory containing approximately 1700 citations to program evaluation reports that were issued by 18 select Federal agencies and the General Accounting Office, fiscal years 1973-1975, including numerous grant programs. Includes indexes.

GAO Z1223 .A1U5323  
Law Library

U.S. Office of the Federal Register. Federal Register. Washington, D.C.: GPO, 1936- . Weekly.

The Federal Register has added a new feature to the weekly reminders section published every Wednesday. Beginning August 2, 1978, the Wednesday reminders section includes a listing of grant-related documents published in the Federal Register during the previous week.

Law Library



U.S. Office of Management Budget. Catalog of Federal Domestic Assistance. 2nd ed. Washington, D.C.: Office of Management and Budget, 1967- . Annual. Loose-leaf.

A service with a comprehensive listing and description related to Federal programs providing benefits and assistance on activities to Federal, State, and local governments, as well as to coordinate programs within the Federal government. Includes indexes for quick identification of programs.

HC110 .P63A554  
Audit Reference Services

II. TEXTS AND OTHER STUDIES

A. General

Baker, Earl M., B. A. Stevens, S. L. Schecter, and H. A. Wright. Federal Grants, the National Interest and State Response: A Review of Theory and Research. Philadelphia: Center for the Study of Federalism, Temple University, 1974.

A detailed study illustrating the concepts and complexity of factors involved in the federal grant system. Highlights the national interest aspect of the grant-in-aid program, as well as describing how funds are apportioned among the states and local governments to satisfy their needs. Provides a selected list of bibliographies on the grant-in-aid program.

HJ275 .B3  
Audit Reference Services

Council of State Governments. Federal Funds Budgetary and Appropriations Practices in State Government. Lexington, KY.: Council of State Governments, 1978.

A report showing budgetary treatment of Federal Funds. Contains illustrations, general statutory provisions, legislation and regulations employed by the states to obtain appropriations for grant-in-aid programs pursuant to Federal law.

JS308 .C6 No. 633  
Audit Reference Services

Harbert, Anita S. Federal Grants-in-Aid: Maximizing Benefits to the States. New York: Praeger, 1976.

Analytical research toward examining the controversial aspects of the current grant system and the Federal government's practice of distributing aid through grants among the States. Establishes a theoretical model in an attempt to explain State behavior in the grant system. Includes bibliography and index.

HJ275 .H32  
Audit Reference Services

Hope, John. Minority Access to Federal Grants-in-Aid: The Gap Between Policy and Performance. New York: Praeger, 1976.

Text deals with the problems encountered by minority groups with the assessment of the Federal grant-in-aid programs. It explores in detail the decision making policies by those administering the grant programs.

HJ275 .H66  
Audit Reference Services

Maxwell, James and J. Richard Aronson. Financing State and Local Governments. 3rd ed. Washington, D.C.: Brookings Institution, 1977.

Text summarizes in detail how the State and local governments spend their revenues. Emphasizes the need for greater assistance from the Federal Government in financing programs, new and old, and how the general revenue sharing programs have helped fill the gaps.

HJ275 .M39 1977  
Audit Reference Services

Pascale, Richard T. and George P. Barbour, Jr. Shared Power: A Study of Four Federal Funding Systems in Appalachia. Washington, D.C.: American Enterprise Institute for Public Policy Research, 1977.

An analysis of the federally-funded system in Appalachia. Details the works of the Appalachian Regional Commission and its ability to provide improvement of State and local planning processes, and increased involvement by State and local governments in the funding process.

HC110 .P63P38  
Audit Reference Services

Statistical Issues in Allocating Federal Funds and Estimation of Local Government Finances. Papers presented at the Conference on Small-Area Statistics, American Statistical Association, Boston, Mass., 25-26 Aug., 1976. Washington, D.C.: U.S. Dept. of Commerce, Bureau of the Census, 1977.

The information and guidelines from this conference indicate the emphasis now placed on the allocation of Federal funds and their use by State and local governments. Conference provides statistical data and formula for such allocation of funds. Includes bibliographical references.

HJ275 .C628 1976  
Audit Reference Services

Tierney, Cornelius E. Federal Grants-in-Aid: Accounting and Auditing Practices. New York: Federal Government Division, American Institution of Certified Public Accountants, 1977.

A comprehensive work describing the technical assistance rendered by the American Institute of

Public Certified Accountants. Establishes the growing role by the profession in providing expertise in the auditing process and evaluation of the Federal grant system. Includes bibliography.

HJ275 .T53  
Audit Reference Services

The following selected material represents a series of studies, reports and other presentations by U.S. Advisory Commission on Intergovernmental Relations (ACIR). Produces overviews of the operations and effect on Federal grants-in-aid and their impact at the Federal, State, and local levels. Presents policies and recommendations for improvement of the many programs involved in the systems.

Community Development: The Workings of a Federal-Local Block Grant; The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1977.

HD7293 .A5 1977b  
Audit Reference Services

Federal Grants: Their Effects on State-Local Expenditures, Employment Levels, Wage Rates: The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1977.

HJ275 .A177  
Audit Reference Services

Improving Federal Grants Management: The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1977.

HJ275 .A185  
Audit Reference Services

The Intergovernmental Government Grant System As Seen By Local, State and Federal Officials: The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1977.

HJ275 .A214  
Audit Reference Services

The States and Intergovernmental Aids: The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1977.

HJ275 .A23  
Audit Reference Services

Study Committees on Natural Resources and Conservation. Washington, D.C.: ACIR, 1955.

HC103.7 .A48  
Audit Reference Services

Summary and Concluding Observations: The Intergovernmental Grant System, an Assessment and Proposed Policies. Washington, D.C.: ACIR, 1978.

HJ275 .A234  
Audit Reference Services

U.S. Commission on Government Procurement. Grants Task Force, Final Report. Washington, D.C.: U.S. Commission on Government Procurement, 1972.

Report prepared by a special study group of the Grant Task Force for the Commission on Government Procurement. The group's main functions were to: (1) develop data to put the "Federal Grant Program" in perspective; (2) examine the extent to which grants and contracts are used interchangeably by Federal agencies; and (3) analyze the extent to which procurement rules and regulations are and should be applied to grant-type transactions. Report should be read thoroughly in order to understand the methodology used by the study group.

KF1673 .A45 .V34  
Law Library

U.S. Cong. House. Listing of Operating Federal Assistance Programs Compiled During the Roth Study. 90th Cong., 2nd sess. H. Doc. 399. Washington, D.C.: GPO, 1968.

A useful informative study of existing Federal assistance programs. Provides authorizing statutes and procedures for those programs.

HJ275 .R6  
Audit Reference Services

U.S. Department of Housing and Urban Development. HUD Statistical Yearbook. Washington, D.C.: GPO, 1970- . Annual.

Comprehensive and detailed data on programs and financial operations of HUD with statistical information relating to housing and urban grants programs.

HD7293 .A49H67  
Audit Reference Services

U.S. General Accounting Office. Procurement Practices of Cities Under Federal Grant Funds: Questionnaire Survey. PSAD-77-78. Washington, D.C.: U.S. General Accounting Office, 1977.

Study prepared by GAO of selected State and local governments and the methods by which Federal grant funds are dispersed for the purchase of goods and services. Evaluations in the use of Federal grants are presented in this report.

Audit Reference Services  
Law Library

## B. Revenue Sharing

The State and Local Fiscal Assistance Act of 1972, Pub. L. No. 92-512, 86 Stat. 919, commonly called the "Revenue Sharing Act," is the latest of the grant-in-aid programs. Its purpose is to provide assistance and relief to State and local governments to help fulfill the needs for Federal aid not provided by other means of assistance.

The 1972 Act has since been amended by the State and Local Fiscal Assistance Amendments of 1976, Pub. L. No. 94-488, 90 Stat. 2341.



Federal Revenue Sharing Proposals. Washington, D.C.:  
American Enterprise Institute for Public Policy  
Research, 1967.

A study on the pros and cons of the Federal grant system between the Federal, State and local governments. Discusses the shared responsibilities for achieving the goals for which the appropriated funds are intended. Contains bibliographical footnotes.

KF6733 .Z9A5  
Law Library

General Revenue Sharing Proposals. Washington, D.C.:  
American Enterprise Institute for Public Policy  
Research, 1971.

Publication provides further analyses and background discussion on revenue sharing. Presents the major arguments for and against Federal tax sharing, and describes the proposals of the Nixon administration. Includes bibliographical references.

KF6733 .Z9A52  
Law Library

Goetz, Charles J. What Is Revenue Sharing? Washington, D.C.: Urban Institute, 1972.

This book clarifies some of the ramifications of the revenue sharing program and provides formula illustrations. Includes bibliographical references.

HJ275 .G6  
Audit Reference Services

Nathan, Richard P., and Charles F. Adams, Jr. Revenue Sharing: The Second Round. Washington, D.C.: Brookings Institution, 1977.

This study presents analytical views and summarization of fiscal effects of revenue sharing among the States and its localities. Includes bibliographical references and index.

HJ275 .N273  
Audit Reference Services

Nathan, Richard P., Allen D. Manvel, and Susannah E. Calkins. Monitoring Revenue Sharing. Washington, D.C.: Brookings Institution, 1975.

A study on revenue sharing prepared by a select panel designated by Brookings. The panel researched and compiled an extensive report analyzing fiscal effects and changes in State and local government finances. The report also shows how revenue sharing funds were used initially during the implementation of the revenue sharing program. Includes bibliographical footnotes.

HJ275 .N27  
Audit Reference Services

Revenue Sharing Advisory Service. Revenue Sharing Handbook. 2nd ed. Washington, D.C.: Revenue Sharing Advisory Service, 1977. Looseleaf.

This handbook is intended to serve as a reference guide for persons administering, auditing and accounting for general revenue sharing funds. It is also intended for the use of those concerned with the legal, technical and economic aspects of revenue sharing programs. Information is drawn from available official sources and is supplemented with the analyses of technical experts in each of the relevant fields. Includes bibliographical references and index.

HJ275 .R41 1977  
Audit Reference Services

Revenue Sharing and Local Government Modernization: A Conference Report by the Comptroller General of the United States. (GGD-75-60). Washington, D.C.: U.S. General Accounting Office, 1975.

The report of a conference held by GAO and designed to assist the Congress as it deliberates renewal of the State and Local Fiscal Assistance Act of 1972, and in assessing the feasibility and appropriateness of using revenue sharing to encourage intergovernmental cooperation in local government modernization. Includes bibliography.

HJ275 .R42  
Audit Reference Services

Scheffer, Walter F., ed. General Revenue Sharing and Decentralization. Norman, Oklahoma: University of Oklahoma Press, 1976.

Focuses on intergovernmental relations in coping with revenue sharing. Identifies alternatives in the method of dispersment of grant-in-aid funds to various levels of government, with the specific emphasis on insuring their intended purposes. Includes bibliographical references.

HJ275 .G39  
Audit Reference Services

Schmid, Gregory, Hubert Lipinski, and Michael Palmer. An Alternative Approach to General Revenue Sharing: A Needs-Based Allocation Formula. Menlo Park, California: Institute for the Future, 1975.

Describes an alternative approach to the revenue sharing program. Presents a formula plan which provides more assistance to those jurisdictions with the greatest needs and to those which make a greater effort given their level of ability. Includes bibliography.

HJ275 .S36  
Audit Reference Services

### III. SELECTED PERIODICAL ARTICLES

"The Big Price Cities Pay for U.S. Aid." U.S. News and World Report, April 10, 1978, p. 24.

Analysis on why State and local government officials feel as though they are losing more local independence by having to rely more on Federal aid money. Also, in the process, local governments must adhere more rigidly to rules and regulations before obtaining the financial aid requested.

Audit Reference Services

Eaves, George N. "The Research Grant Application: An Exercise in Scientific Writing." Grant Magazine, March 1978, pp. 61-63.

Author emphasizes and explains the importance of the specifics of writing skills when making application for research grants.

Publication not owned by  
GAO Libraries

"How Much More Federal Aid Can Cities Expect?" U.S. News and World Report, December 12, 1977, pp. 63-64.

Patricia Harris, Secretary of HUD, explains during an interview how troubled cities are making progress in the rebuilding of their housing programs. Federal funds will be transferred from existing programs, rather than creating large numbers of new programs. By aggregating the money this way and aiming it at specific cities, it can have enormous potential.

Audit Reference Services

"A Push to Tie Federal Spending to Area Needs." Business Week, January 30, 1978, pp. 66-68.

This discussion focuses on the sharp disparities of growth among regions, cities and suburbs, as well as varying needs for financing projects with Federal funds.

Audit Reference Services

Ridenour, Ron. "Federal Spending: The First 200 Years." Grantsmanship Center News, September - December 1978, pp. 31-42.

"A history of the development of the Federal grants-in-aid programs is chronicled. Though originally utilized for agricultural, educational and transportation programs, since 1930 has been welfare dominant."

Publication not owned by  
GAO Libraries

Singer, James W. "Big Money at Stake in Redefining Unemployment." National Journal, January 6, 1979, pp. 9-13.

Reports that a lot of money is at stake in a current review of employment and unemployment statistics. Gives analyses of how data, definitions and statistics are used as a basis for the huge amount of money distributed annually to States, counties, and cities. Shows how changes in programs can alter allocation of the funds.

Audit Reference Services

Walker, David B. "The New System of Intergovernmental Relations: More Fiscal Relief and More Governmental Intrusions." Governmental Finance, November 1978, pp. 17-22.

Discusses the growing tendency to resolve local governmental difficulties by relying almost exclusively on intergovernmental transfers while ignoring the fiscal, functional and institutional defects of the localities.

#### Audit Reference Services

"Who Needs Federal Funds Most?" Intellect, May 1978, p. 431.

Notes a symposium held at the University of Texas to discuss and provide solutions and remedies for regional policy spending patterns affected by shifting of employment, capital, and the mobility of goods to other areas of the country.

#### Audit Reference Services

#### IV. Other Information Sources

##### A. Legal Periodicals Indexes

Current Index to Legal Periodicals. Seattle: University of Washington, 1979- .

A weekly publication, this index updates the Index to Legal Periodicals and includes some additional journals not otherwise indexed.

Law Library

Index to Legal Periodicals, January 1926- . New York: H.W. Wilson Co., 1929- .

Published monthly (except September), with quarterly, annual, and triennial cumulations, this is a general index to legal periodicals. Law reviews and journals are considered a very important secondary source in legal research. They provide current information and are especially useful when dealing with specialized areas of the law. Articles relating to grants are indexed under author headings and subject headings such as Grant-in-aid and Federal aid.

KF8 .I55  
Law Library

Index to Periodical Articles Related to Law. Five-Year Cumulation, vols. 11-15 (1969-1973). Dobbs Ferry, N.Y.: Glanville, 1974.

Articles published in the Index to Periodicals Related to Law are selected from journals not included in the

Index to Legal Periodicals or the Index to Foreign  
Legal Periodicals. There is a ten-year cumulation,  
published in 1970, and a five-year cumulation (1969-  
1973) published in 1974.

Z6456 .I56  
Law Library



## B. Computer-Stored Information Resources

Data bases are primarily bibliographic resources that provide access to references to literature stored in computers. Access to these files, which are constantly updated, is available through the use of terminals located in the Law Library and the Audit Reference Services Section with the assistance of reference staff.

### JURIS

JURIS provides case law and statutory law in full text. It does not provide bibliographic information, e.g., law review citations, etc. JURIS retrieves cases and laws by using words. This means that the entire texts of documents are keyed into the computer, making every word of each document searchable. Thus, any cases on law dealing with grants can be retrieved by searching on a form of the word grant or any synonym that may appear in the text of the law or case.

Law Library

### LOCKHEED/DIALOG

DIALOG, a product of the Lockheed Retrieval Service, contains over 100 files, covering a wide range of subjects in science, technology, engineering, social sciences, business and economics. Access to the information is obtained through free text and/or subject searching. One of the files, Foundation Grants Index, contains information on foundation grants awarded by more than 400 philanthropic foundations, representing all records from the section of the bimonthly Foundation News.

Audit Reference Services

## NEW YORK TIMES/THE INFORMATION BANK

The Information Bank is an information service of the New York Times Company. The Information Bank is designed to be used with their thesaurus of indexed terms. The comprehensive and constantly updated files contain general information from the New York Times and over 70 other major newspapers, magazines, journals, etc. Relevant material would be indexed under such terms as Federal Aid, Grants (Corporate and Foundation), and Federal Revenue Sharing and Grants-in-Aid.

Audit Reference Services  
Law Library

## ORBIT

System Development Corporation's ORBIT search service is an on-line retrieval system available for searching bibliographic information. A user can access any one of ORBIT's many on-line literature and reference files which will provide instant response to most search requests. Of special interest, the ORBIT/Grants file provides references to more than 1,500 grant programs offered by Federal, State and local governments, commercial organizations, associations and private foundations in over 88 disciplines, including adult education, agriculture, social sciences, fine arts, architecture, natural sciences, and law. Other files, while not restricted to information related to grants, may provide references to useful publications.

Audit Reference Services

## SCORPIO

SCORPIO is an automated information retrieval system produced by the Automated Systems Office of the Library of Congress. It is available to Members of Congress and their staffs, and the public may use selected files at the Library of Congress. Searching is implemented by using index

terms selected from the Scorpio Thesaurus. The most useful file for obtaining information on Federal grants is CITN (citation file), which contains references to topical periodical articles, pamphlets, GPO publications, U.N. documents, interest-/lobby-group publications and other information.

Audit Reference Services  
Law Library